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ABSTRACT

This document consists of 6 issues (1 year) of a newsletter devoted to information and reports on issues and actions of interest to research libraries. Each issue contains articles on current issues, federal relations, and ARL activities as well as columns by the Coalition for Networked Information, the Office of Scientific and Academic Publishing, and the Office of Management Services. The highlights of each issue are as follows: (January 1994) "Trends in University Funding for Research Libraries," "NII and Intellectual Property," "Serial Cancellation Survey," and "Attracting Minority Applicants"; (March 1994) "Steps Toward a New U.S. Communications Policy," "Celebrating Libraries," "CICNet and Electronic Journals," and "Technology Fees"; (May 1994) "Rising Prices Continue to Plague ARL Libraries," "Rethinking ILL & Document Delivery Services," "Campus Seminars on Scholarly Communications," and "Librarywide Diversity Programs"; (July 1994) "Affirming the Rights and Responsibilities of the Research Library Community in the Area of Copyright," "AAU and ARL Endorse Action Agenda," "Electronic Serial Sites," and "OMS Diversity Program"; (September 1994) "ARL in Support of a Diverse Research Library Workforce," "AAU/ARL Demonstration Projects," "Librarian/Publisher Dialogs," and "New Learning Communities"; (November 1994) "GIS (Geographic Information System) Applications in Research Libraries," "Serial Cancellation Rate Predicted to Drop," "NII and Copyright," and "OMS Diversity Seminar." (DGM)

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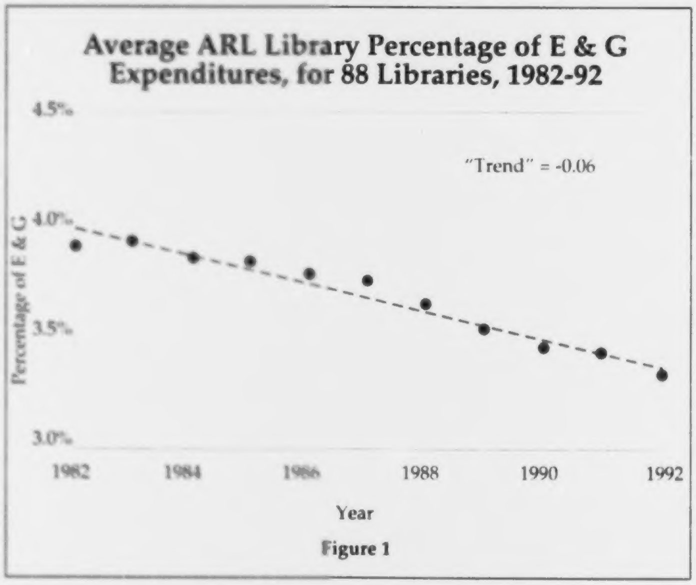
Current Issues

TRENDS IN UNIVERSITY FUNDING FOR RESEARCH LIBRARIES

by Kendon Stubbs, University of Virginia Library

The Association of Research Libraries has collected data from its academic members since 1981-82 on total university educational and general (E&G) expenditures.[1] Analysis of these data, together with the annual ARL statistics, reflects trends in research library use of university resources and the relative emphasis given to library budgets by universities.



Average ARL Library Percentage of E & G Expenditures, for 88 Libraries, 1982-92

Figure 1

A recent examination of a decade of these E&G data for the ARL Statistics and Measurements Committee revealed a widespread decrease in the proportion of university funding directed to research libraries, averaging over half a percent of E&G expenditures from 1982 through 1992. While actual dollar amounts increased, this half a percent decrease in the proportion of E&G allocated to libraries meant that the mean ARL library in 1992 had about $4 million less to spend than if it were still receiving its 1982 percentage of university funding.

The decline in the library percentage of E&G is not reflected evenly within library expenditures during the same period of time. Indeed, the rate of increase in library serials expenditures has matched or exceeded increases in university E&G expenditures. The chief disparity between the respective rates of library spending and total E&G spending has been in the category of salaries and wages. There has been a fairly constant level of library staffing during this period, and this is reflected in a slower rise in library personnel expenditures than in expenditures for teaching faculty.

The following is a summary of trends in the ratio between library expenditures and total university E&G expenditures.

The Decline in the Library Share of University Funds

For 88 ARL libraries reporting the pertinent data in all years from 1982 through 1992, Figure 1 displays the average ARL library percentage of uni-

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versity E&G expenditures. Each solid dot represents the average percent of E&G (also presented in Table 1). Regression analysis can compute the straight line in the graph that lies closest to all the points. This is the regression or trend line. The overall tendency of the points representing percentages of E&G is downward from 1982 through 1992. A negative number indicates a downward sloping regression line.

The line in Figure 1 has a slope of -0.06. This number can be interpreted as the average annual decline in the percentage of E&G for all ARL libraries. Note from Table 1 that the average ARL library's percent fell from 3.91 in 1982 to 3.32 in 1992. This is a drop of 0.59 in the 10 years following 1982. The calculated slope of -0.06 indicates an annual drop. Over 10 years -0.06 becomes a decline of 0.60, which is almost the same as the actual decline of 0.59. In this case the regression analysis describes very accurately how ARL libraries on average experienced a decrease of about 0.06 (actually, 0.06%) each year in their share of university E&G. Seventy-eight percent of ARL members display a downtrend in their E&G percentage from 1982 through 1992. Seventy-two percent received a lower percentage of E&G in 1992 than in 1982.

Table 1:

Average Expenditures of ARL Libraries and Universities

Year	Total Library Expenditures	E & G Expenditures	Library Percent of E & G
1982	7,182,629	205,192,922	3.91
1983	7,767,229	216,394,511	3.92
1984	8,351,858	238,521,748	3.85
1985	9,094,720	260,994,145	3.83
1986	9,885,732	290,083,028	3.78
1987	10,719,388	317,931,271	3.74
1988	11,483,300	348,006,462	3.64
1989	12,361,545	383,114,338	3.53
1990	13,369,538	420,414,327	3.45
1991	14,177,510	447,683,066	3.42
1992	14,550,333	476,191,915	3.32

Table 1 displays average (mean) total library expenditures, average E&G expenditures, and average ratios of library expenditures to E&G expenditures.[2] This table shows that the mean ARL library's share of university expenditures has declined from 3.91% to 3.32%. If the mean library were still receiving 3.91% of E&G, average library expenditures would be $18.6 million, or about $4 million more than actual mean library expenditures in 1992. Most ARL libraries have experienced a downward trend, of greater or lesser severity, in their percentage of E&G since 1982.

The recent Mellon report on university libraries similarly found a decline in the library percentage of E&G.[3] For the subset of 24 ARL libraries in its sample, the E&G percentage dropped 0.47% from 1982 to 1990 — from 3.67% to 3.20%. From Table 1, the decline for all ARL libraries from 1982 to 1990 was 0.46% (from 3.91% to 3.45%).

For the same 88 libraries, Figure 2 is a graph of the percent changes from the base year of 1981-82 for total library expenditures and E&G expenditures. It also displays the subcategories of library expenditures: expenditures for serials, for books and other non-serial materials, for salaries and wages, and for other operating costs (including binding). Figure 2 demonstrates a widening gap between total library expenditures and E&G expenditures, of which library expenditures are a part. Both library and E&G expenditure dollars have been increasing, but E&G expenditures have been increasing faster. As the gap widens, the ratio between library and E&G expenditures declines. At the same time, the figure shows how expenditures for serials and for other operating costs have exceeded or at least kept pace with E&G, while expenditures for salaries and wages, and for books, have fallen behind.

Causes of the Decline in the E&G Ratio

The reason for the widening gap between library expenditures and university E&G expenditures is not, as some have supposed, that ARL library expenditures for serials have been failing to keep up with university expenditures. Figure 2 shows how serials expenditures have outpaced E&G expenditures. Similarly, increases in library expenditures for other operating costs, including automation, have also exceeded educational and general expenses. Where ARL libraries have been falling behind in relation to general university expenditures is chiefly in salaries and wages, and also in non-serial materials, mostly monographs.

For the period 1982 through 1992, E&G expenditures rose 132%, while library salaries and wages rose only 85%, and monographs and other non-serial materials rose 96%. In 1992, serials and other operating expenditures accounted for about one-third of expenditures in the typical ARL library; salaries and wages for one-half; and monographs and other non-serials for one-sixth. During the 1980s the one-third of the budget devoted to serials and other operating costs rose slightly faster than E&G, while the other two-thirds of the budget lagged behind. If we had to point to one chief cause of the shifting ratio of library to university E&G expenditures, therefore, it would be expenditures for library staff (and to a much lesser extent, expenditures for monographs).

Evidence for the causes of the decreasing library percentage of E&G can be seen by looking at the subcategories of E&G expenditures.[4] For 1982 through 1990 the costs of instruction in ARL institutions rose 89%, while library salaries and wages rose 70%. On the whole, by 1990 universities were paying nearly 20% more for teaching faculty than libraries were paying for their staffs. Meanwhile other categories of E&G expenditures were also rising faster than expenditures for library staff (and faster than the costs of teaching faculty): for example, research; public service; other types of academic support, such as computing; student services; and institutional support. If library staff costs had kept pace with the costs of instructional faculty, the library percentage of E&G would have been much closer to a constant percentage throughout the decade.

If library personnel costs are the main cause of the decrease in the ARL percentage of E&G expenditures, what held those costs in check? From previous investigations the answer is clearly that library staffing levels have risen very little through the 1980s, even though the numbers of instructional faculty and students have been increasing. There is also some evidence of a shift in ARL libraries during the 1980s in staffing allocations. During these years the ratio of student assistants to permanent professional and support staff rose: as if ARL libraries were restraining staffing costs by increasingly hiring less expensive personnel.[5]

The reasons why increases in library staffing have been very modest and why costs have been shifted to student assistants, however, remain murky. The Mellon report suggests a connection between increasing expenditures for automation and steady staffing costs, but also notes that more or less constant staffing levels may have resulted from evolutionary allocation of resources within the local conditions of individual libraries and universities.[6] The answer to the mystery of why staffing growth came to a halt or at least slowed to a snail's pace throughout ARL libraries may need to be sought in a myriad of institutional decisions.

Percent Change in ARL Library and E & G Expenditures, for 88 Libraries, 1982-92

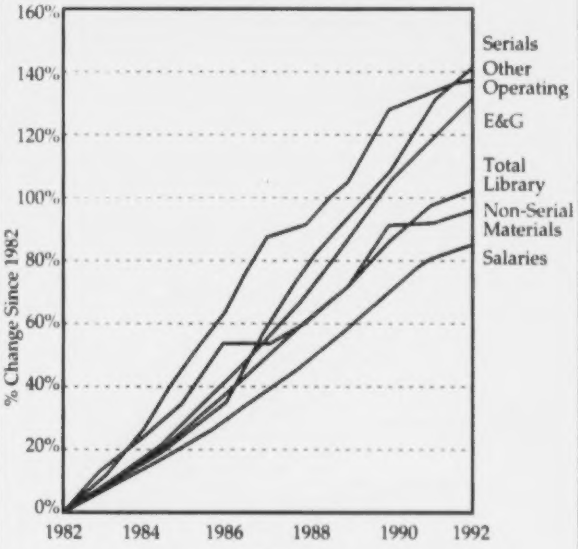

Figure 2

Notes

1. E&G expenditures include the major categories of Instruction (chiefly teaching faculty salaries and wages), Research, Public Service, Academic Support (including libraries), Student Services, Institutional Support, Operation and Maintenance of Plant, Scholarships and Fellowships, Mandatory Transfers, and (since 1987 in U.S. reporting) Nonmandatory Transfers. The instructions for the annual ARL collection of E&G data have specified that the E&G number for a U.S. university is to be taken from Part B, Line 12, of the U.S. Department of Education's annual IPEDS (formerly HEGIS) survey of finances of institutions of higher education. Canadian universities are to report similarly defined expenditure data.
2. In 1987 the U.S. National Center for Education Statistics changed the reporting base for E&G expenditures by adding nonmandatory transfers to total E&G. The ratio of library expenditures to total E&G expenditures is thus deflated from 1987 through 1992, compared with 1982 through 1986, at least for U.S. ARL libraries. The discontinuity in 1987, however, had little effect on the time series. For example, in 1990 the average ARL percentage of E&G was 3.45% (see Table 1). If nonmandatory transfers are subtracted from total E&G for the ARL institutions, the percentage of E&G was 3.54%. In other words, in 1990 the addition of nonmandatory transfers to total E&G deflated the library percentage by only 9 one-hundredths of a percent, from 3.54 to 3.45.
3. Anthony M. Cummings et al., *University Libraries and Scholarly Communication* (Washington: Association of Research Libraries, 1992), Appendix Table 3.1, p. 192.
4. Data on the categories of E&G expenditures in ARL institutions for 1982 through 1990 were made available by John Minter Associates of Boulder, Colorado, from IPEDS/HEGIS finance data.
5. See, for example, *ARL Statistics 1983-84* (Washington: ARL, 1985), p. 6, and *ARL Statistics 1987-88* (Washington: ARL, 1989), p. 8.
6. Cummings, pp. 41-45, 51-53.

Continued

UPDATE ON DEACIDIFICATION

In the summer of 1992, the U.S. Congress approved a Library of Congress plan to perfect a diethyl zinc (DEZ) process and to assist in the development of other deacidification processes. Deacidification processes are used to neutralize the acids in paper and extend the life of a book. ARL has supported development of the process in order to provide research libraries with a reasonably priced treatment to preserve collections.

The DEZ process, developed at the Library of Congress, was licensed to Akzo Chemicals Inc. to promote its commercial applications. The Library also initiated a process to test and evaluate other deacidification processes that had been developed by the private sector.

During 1993 LC ran tests at Akzo's plant in Texas to perfect the DEZ process. However, on December 13, Akzo announced it had decided to shut down its pilot Book Preservation Facility effective in the first quarter of 1994. This action signals Akzo's assessment "of limited prospects for the adoption of DEZ in the near future." In a letter to ARL, Akzo reports this action is "despite our firm belief that [DEZ] represents the best available technology to address a need that is real and truly worldwide."

In the last year about a dozen ARL libraries have sent shipments of materials to be treated with DEZ: Harvard, Johns Hopkins, and Northwestern have actually integrated use of Akzo's deacidification services into the libraries' preservation program. A report of Harvard's experience follows.

SELECTIVE MASS DEACIDIFICATION AT HARVARD

Harvard University Library is in the third year of its program to deacidify selected materials from the research collections using the diethyl-zinc gas diffusion process (DEZ) invented at the Library of Congress and developed by LC and Akzo Chemicals, Inc. Harvard embarked on deacidification at the conclusion of a year-long technical assessment which included site visits to deacidification facilities and research conducted by Harvard Chemistry professor Andrew Barron.[1] In addition, a thorough review of the literature, including an assessment of the technical results of procurement testing conducted by the Library of Congress[2] and a study conducted by the CIC, a consortium of midwestern libraries,[3] convinced Harvard's task group that the technology to deacidify whole books using the DEZ process was viable and cost-effective and could be implemented without further delay. In the first two years of the program, Harvard successfully deacidified approximately 10,000 books and 16,000 maps from its research collections for approximately $13 per book and $2.50 per map.

The DEZ process neutralizes the acids in book paper and leaves an alkaline reserve against future acid attack from the environment. This is its major benefit. Ideally DEZ would alkalize whole text blocks without any adverse effects on the book covers whatsoever. Given the variety of cover materials and composites that make up modern books, this is probably an unrealistic expectation. For example, plastics used in the makeup of some cover materials can be negatively effected by the process, and not enough is known about the effects of the process on leather to confidently treat leather-bound books with artifactual value. Some shipments return with a harmless, but annoying, residual odor that takes varying amounts of time to dissipate. However, given the quantities of materials processed at any one time, this is not an insurmountable problem. The DEZ process is not a perfect technology, nor are there expectations at Harvard that it ever will be. It is being applied to allow collection managers to retain original printings in their collections at a relatively low cost.

Harvard is concentrating its program in four areas: routinization of processing for deacidification in the libraries; development of selection rationales by collection managers; working with the vendor to improve the handling of materials before, during, and after treatment; and quality assurance of treated shipments, particularly in regard to uniformity of treatment throughout a shipment. Selection methodologies vary by collection, but Widener Library (humanities and social sciences) is deacidifying all acidic books that are also being conserved or rebound. In October, four Preservation staff members from Harvard visited the Akzo treatment facility outside Houston with staff from the University of Texas at Austin Humanities Research Center. HRC has been sending materials for deacidification from its manuscript collections. The focus of the meeting was on quality assurance.

Harvard is engaged in a six-year librarywide project to convert its manual bibliographic records to online records. This program has enormous implications for the use of the retrospective collections and the direction of the preservation program. A large-scale deacidification effort combined with increased use of low-temperature offsite storage may be the logical extension of the library's "recon" program and a cost-effective preservation response to greater use of the collections.—*Carolyn Clark Morrow, Malloy-Rabinowitz Preservation Librarian, the Harvard University Library and the Harvard College Library*

Notes

[1] MacInnes, Andrew N. and Andrew R. Barron. "Spectroscopic Evaluation of the Efficacy of Two Mass Deacidification Processes for Paper." *Journal of Materials Chemistry.* 1992, 2(10): 1049-56.

[2] Institute of Paper Science and Technology. *Physical Properties of Library Books Deacidified by Akzo Chemicals, Inc.* A report to the Library of Congress in response to solicitation no. RFP90-32, June 10, 1991.

[3] CIC Task Force on Mass Deacidification. *Mass Deacidification: A Report to the Library Directors.* Urbana, Illinois, Committee on Institutional Cooperation, April 1992.

DIGITIZING RESEARCH MATERIALS: QUESTIONS TO BE CONSIDERED

by Jutta Reed-Scott, Senior Program Officer for Collections and Preservation

During the past two years, projects for digitizing research materials have multiplied. Many of these projects have been supported by grants funds. This article poses some of the questions that reviewers will typically ask in evaluating proposal applications. The questions are adapted from preliminary considerations developed by several federal funding agencies. Working with representatives of the Coalition for Networked Information, the Commission on Preservation and Access, and with the advice of other experts, the group developed a series of technical considerations that could be used by applicants. They are intended to embody a guiding, not a prescriptive, approach. Libraries may request the full text of *Considerations for Converting Materials to Electronic Form* from Paul Evan Peters, Executive Director, Coalition for Networked Information (paul@cni.org). At the request of the ARL Committee on Preservation of Research Library Materials, the following summary was prepared.

The general elements of a proposal for digitizing research materials should address an array of specific questions, which are grouped under the standard elements of a proposal. These include:

1. Significance of Materials

a. What are the intellectual goals of the project and the relevance of converting the proposed materials to digital form?
b. Who are the potential users of this material?
c. What evidence exists that digitization of the material will enhance its use?
d. How does the project relate to comparable efforts by others?

2. Technical Plan

a. Are the specified tasks adequate to the objectives and outcomes of the proposed project?
b. What are the level of staffing and qualifications of the project's staff? What is the division of labor (including consideration of collaborative efforts, service bureaus, and other creative strategies)?
c. What are the hardware/software requirements?
d. How will network connectivity be assured?
e. Does the project follow existing standards or will it adopt innovating new practices?

3. The Project's Methodology

a. What is the nature of the materials to be digitized? Are they page-oriented text or materials (including text) that are not page-oriented (e.g., audio, video, films, photographs, and graphic materials)?
b. How will intellectual access to the digitized materials be provided (e.g., item control; media header; MARC bibliographic records; document control structures; or other means)?
c. How will the materials be digitized, formatted, and subjected to quality control? What will be the resolution, black and white, grey scale, or color; and compression scheme of the scanned page images?
d. What is the level of image enhancement? ASCII without markup (keyboarded or processed by optical character recognition software [OCRed]); text with mark-up (keyboarded or OCRed)?
e. What will be the tagging scheme (e.g., the Text Encoding Initiative [TEI]) or compound documents (Computer-assisted Logistics Systems [CALS], Open Document Architecture [ODA], Multipurpose Internet Mail Extensions [MIME], or other)?
f. What criteria will be used to determine the quality of the digital product (i.e., the acceptable levels of resolution, compression, and image enhancement)?

4. Preservation and Access

a. What are the long-term (life-cycle) management strategies regarding the digitized materials?
b. How will the preservation and maintenance of the digitized materials be assured? What are the institutional capabilities and what institutional commitments have been made to ensure that the digitized resources will be maintained over time (e.g., implementation plans, monitoring processes, and arrangements with appropriate entities to store, refresh, maintain, and authenticate the digital resources)?
c. Is the digital version of the resource intended to replace or supplement the preservation of the source materials?
d. What will happen to the source materials after a digital version is available?
e. What authentication and identification strategies are in place to assure against accidental or intentional changes or replacements?
f. What are potential disaster scenarios and what are the disaster prevention plans? Will there be backups either digital and/or analog?

5. Dissemination of Digitized Resources

a. Will the digitized materials be disseminated by magnetic tapes or diskettes; CD-ROM; network server, operated by the investigator or by someone else; or other means?
b. What terms and conditions apply to permit dissemination (e.g., copyright provisions and costs)?
c. What organization or individual controls the rights to reproduce and disseminate this material? Have the rights to reproduce and disseminate this material been secured?
d. How will the security, integrity, privacy, and confidentiality be protected with respect to access to the information?
e. How will any restrictions on access that exist for the original form be maintained/honored in the digital version of the resource?
f. How will knowledge of and proficiency with the digitized materials be promoted? Will this include documentation; reference guides or tip sheets; publications, speeches, formal training sessions, or workshops; support services; postings on listservs or bulletin boards; or other strategies?
g. How will the technical methods, findings, and results (including error rates, compression ratios, and costs) be disseminated? ■

NII AND INTELLECTUAL PROPERTY ISSUES

by Prudence S. Adler, Assistant Executive Director – Federal Relations and Information Policy

On November 18, the Working Group on Intellectual Property, one of several groups supporting the efforts of the White House Information Infrastructure Task Force (see *ARL 171*, page 10), conducted a public hearing on intellectual property issues and the National Information Infrastructure (NII) with a particular focus on protecting works disseminated via the NII from unauthorized use. Chaired by Bruce Lehman, Commissioner of Patents and Trademarks, the Working Group heard from representatives of the library, higher education, publishing, information industry, and entertainment industries.

In soliciting testimony, the Working Group announcement noted that the "increased availability and accessibility (of electronic information) will dramatically affect the way information and entertainment products are created, marketed, and delivered throughout the world. Consequently, the commercial viability of the NII hinges not only upon effectively promoting and encouraging use of the NII by all types of users, but also on implementing standards and policies for the NII in a manner that assures that the owners of the products disseminated through the NII retain sufficient control over those products to prevent unauthorized use."

"The Working Group's mission is to help develop the NII in a manner that will ensure the integrity of intellectual property rights, make the wealth of information and entertainment products more widely available and accessible than ever before, and provide economic incentives to intellectual property rights owners so that they will make their products available through the NII."

Some of the questions the Working Group invited witnesses to address were:

- Is the existing copyright law adequate to protect the rights of those who will make their works available via the NII? What statutory or regulatory changes, if any, should be made?
- Do the existing fair use provisions of the copyright law adequately accommodate the interests of users of the works available via the NII? What statutory or regulatory changes, if any, should be made?
- Should a licensing system be developed for certain uses of any or all works available via the NII? If so, should there be a single type of licensing or should the NII support a multiplicity of licensing systems?
- Are there technical means for preventing unauthorized reproduction or other unauthorized uses of copyrighted works that should be mandated or required to comply with certain standards (similar to the serial copying controls required in digital audio recording devices and digital audio interface devices under the Audio Home Recording Act of 1992)?

Interestingly, many of those testifying were in agreement that changes to the Copyright Act were not needed as it is sufficiently flexible to meet the needs of the NII as envisioned by the Clinton-Gore Administration. In addressing this issue, Steve Metalitz of the Information Industry Association noted, "Any proposal for a fundamental rewrite of the copyright law must bear the heavy burden of demonstrating its clear superiority to an enormously successful status quo." Lisa Freeman, speaking on behalf of the Association of American University Presses echoed these remarks: "We do not believe that any fundamental changes in the law itself are necessary, however, and would resist any amendments to the law that would further limit the rights of authors and publishers or which act, however unintentionally, to undermine the system of scholarly communication."

Where witnesses differed, however, was on the need to develop technological solutions to ensure that current provisions of the law were met. Timothy King, Vice President at John Wiley & Sons, expressed concerns that there would be a higher incidence of plagiarism given the ease of use of "electronic scissors," and envisioned a metering system to track use of paragraphs or discrete sections of a work. He spoke in support of developing technologies to scramble and de-scramble material transmitted on the network and to monitor and meter what a user reads or prints.

Robert Oakley, Director, Law Library, Georgetown University, testifying on behalf of ARL and other library and education associations noted that, "It is true that we cannot know now exactly how the contours of fair use might evolve in the electronic environment but ... it should continue to be available to researchers, educators, and others making use of information." Oakley took serious exception to the metering proposal and stated, "I find it difficult to understand how individual scholars or school children might have to pay a sum for the use of individual paragraphs out of copyright works." Similarly, Freeman noted that the "AAUP believes that the present system fair use provisions ... are sufficient to protect the interests of both the producers and consumers of works transmitted via the networks."

The question by the Working Group relating to the need for developing a licensing system for certain uses of any or all works available via the NII prompted several different reactions. Oakley noted that licensing proposals should accommodate fair use and library uses as authorized in the Copyright Act. He further commented that "the library and education communities are in agreement that licenses should not be used to contract around fair use, section 108, or the exemptions intended to facilitate classroom instruction." John Masten, New York Public Library, supported this stance and also called the proposal to develop a single licensing system "a mistake. It is important to leave as much room as possible for individual owners of property rights on the one hand, and libraries and other users on the other, to negotiate arrangements that seem mutually beneficial."

Addressing short-comings of the current Copyright Act from the perspective of the National Writers Union, Maria Pallante commented that the copyright law does not "adequately limit the work-for-hire exception." Noting that future audio-visual works will increasingly be incorporated in multi-media products, not traditional motion picture products, "authorship could be at risk, if these media become primary publications."

And finally, the Federal Networking Council Advisory Committee (FNCAC) commented that "a network, by itself, cannot protect copyrighted materials (or other intellectual property rights). As a basic transport medium, networks cannot readily differentiate the content of the packets or the authorization to exchange them. It is in the interaction between the consumer and provider where protection must be established."

Copies of the hearing transcript are available via the PTO (703-305-9300). Thanks to efforts within the White House, the transcript is also available via the Internet from <ftp://ace.esusda.gov/pub/data/ace/tech/1000>.

LIBRARY AND EDUCATION COMMUNITY STATEMENT

The following is drawn from a statement submitted by the library and education community to the Working Group on Intellectual Property of the White House National Information Infrastructure Task Force. ARL took an active role in developing the statement; it was presented on behalf of twelve library or education associations by Robert L. Oakley, Director of the Law Library, Georgetown University.

Although the library and education communities believe it is premature to propose specific legislative or regulatory reforms while the information infrastructure is still in its infancy, we are concerned about the need to reaffirm that the rights granted to educators and to libraries and their users apply in the electronic environment as they have in the paper environment. We also believe that the law needs some strengthening to allow libraries to utilize fully the newest technology to preserve the nation's heritage and to meet the needs of their users.

With regard to intellectual property, there is broad agreement on some fundamental principles. These are:

- The basic purpose of copyright under the Constitution is to serve the public interest by encouraging the advancement of knowledge through a system of limited rights for owners of intellectual property.
- Intellectual property rights and protections are independent of the form of publication or distribution.
- The intellectual property system should ensure a fair and equitable balance between rights of copyright owners and the needs of users.
- Fair use and other limitations on the rights of copyright owners should continue in the electronic environment.
- Compensation systems must provide a fair and reasonable return to copyright owners.

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The policy framework for the National Information Infrastructure should allow a variety of pricing structures [including] distribution of some works at no cost to the individual user (or at least no cost higher than what might be charged for basic access to the network).

Just as our community believes that certain works should be available without any fee, so too they believe that certain uses that have been permitted without a fee in the past should continue on the same basis. In particular, fair use should continue regardless of the medium, whether electronic or print. Similarly, the library exemptions to the exclusive rights of copyright owners granted in section 108 must also continue in the electronic environment because they support the educational and research endeavors of library users.

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The Preservation sections of the Copyright Act, however, need some modest expansion to more adequately address the preservation needs of libraries because those sections limit preservation copying to a single copy in "facsimile form," meaning paper or microform. Digital works of enduring value will also need to be preserved. In the case of digital works — whether online, on tape, or on CD — preservation takes the form of "refreshing" or copying the work onto a duplicate of the medium or even moving it to the next technological generation. The current law — by its limitation of preservation copying to copying in facsimile form — does not accommodate this increasingly important need.

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The library and education communities believe that, in cases like interlibrary lending, preservation in the electronic environment, or the creation of digital libraries, copyright should not be a barrier to education and learning.

The following organizations came together to advance this shared view of the library and education community before the Working Group: American Association of Law Libraries, American Library Association, Association of Academic Health Science Library Directors, Association of American Universities, Association of Research Libraries, CAUSE, Coalition for Networked Information, EDUCOM, Medical Library Association, National Association of State Universities and Land-Grant Colleges, National Coordinating Committee for the Promotion of History, and Special Libraries Association.

FEDERAL RELATIONS

Prudence S. Adler, Assistant Executive Director-Federal Relations and Information Policy

CHANGE PROPOSED FOR GOVERNMENT INFORMATION PROGRAMS

During the past year, there have been a number of proposals, from the public and private sectors, calling for major changes to existing U.S. government information access and dissemination programs, such as the Federal Depository Library Program. Each proposal envisions that access to government information will be fundamentally different in the years ahead; thus, a rethinking of current programs is needed. The level of activity on information access and dissemination issues is intense. At stake is who will be the key players and how they will influence access to government information in the future.

Clinton-Gore Administration Initiatives

Administration efforts include the *National Information Infrastructure: Agenda for Action* (see *ARL 171*, page 10), the revised OMB Circular A-130 (see *ARL 170*, page 10), and H.R. 3400, the Government Savings and Reform Act of 1993. There are common elements to the Administration proposals. They seek to:

- expand the availability of government information to the public;
- rely upon the Internet as one means of increased public access to government information; and
- shift many dissemination responsibilities from the Government Printing Office (GPO) to the federal agencies in a decentralized mode of operation.

The most recent and unsuccessful Administration initiative, Title XIV of H.R. 3400, the Government Information Dissemination and Printing Improvement Act of 1993, was "intended to provide a more effective, efficient, and responsive government." The bill contained provisions that, if implemented, would have been a major departure in federal printing practices and procurement. Currently, federal agencies must utilize the services of the GPO in the production and/or procurement of printing services. During this process, GPO is able to secure needed copies of publications in support of the Federal Depository Library Program. This relationship between printing procurement and the acquisition of government information on behalf of participating depository libraries would have been disrupted under the Administration's proposal. Under provisions of Title XIV, the depository library program and other statutory requirements of Title 44 such as the Sales program would have been maintained in the legislative branch yet each federal agency would be permitted to engage in printing activities. One year following enactment of H.R. 3400, possible needed revisions to the depository program would be considered. Finally, provisions of the bill were at odds with the recently passed Government Printing Office Electronic Information Access Act of 1993, P.L. 103-40. (See *ARL 168*, page 5.)

Congressional Initiatives

On November 23, without a public hearing and in a period of one month, the House passed an amended version of H.R. 3400, including Title XIV. Title XIV, Reinventing Support Services, retains the role of the GPO in provision and procurement of printing services to all branches of government. The bill also transfers the functions of the Superintendent of Documents to the Library of Congress. This office includes six programs such as the Cataloging and Indexing of Federal Documents, the International Exchange of Government Publications, the Federal Depository Library Program, the Sales Program, and Federal Electronic Information program. Under this measure, Congress would retain authority over federal agency printing and dissemination but in two different legislative branch agencies, the Library of Congress and GPO. Thus the link between procurement and the depository program is broken. Two hearings on this topic are scheduled for February 3 and 10.

Library Community Initiatives

The library community has had several meetings to identify and define new directions for access to and dissemination of government information. These discussions were undertaken in recognition that changes to the current system are needed. Key factors influencing the need for change are the budgetary pressures faced by libraries, federal agencies, and the Government Printing Office, the increasing reliance by agencies upon information technologies to disseminate federal information, a recognition that networks may provide new opportunities to enhance access to public information, and the new emphasis by the Clinton-Gore Administration to make government information available via the Internet.

Reports from two meetings, the Dupont Circle Group (April 26, 1993) and the Chicago Conference on the Future of Federal Government Information (October 29-31, 1993) identified key elements that could be included in a revamped federal information access and dissemination program. There are several common themes in the reports. First, if the federal depository library program is to continue, a new framework or model for effective access to government information will be required. Second, a cooperative program between libraries and the government should continue and be a "cornerstone of the new information infrastructure." Third, new opportunities to improve public access to government information and to strengthen information dissemination programs supported by libraries, government agencies, and other information providers are possible. And finally, interim measures are suggested during the establishment and implementation of any new program or system. Julia Wallace, Head, Government Publications Library, University of Minnesota Library, and Gary Cornwell, Documents Department, University of Florida Libraries, co-chaired both meetings.

ARL continues to be active on these issues. ARL hosted the Dupont Circle Group, helped organize the Chicago meeting, and will work with pertinent congressional committees and agencies on new approaches to access and dissemination of government information. Assisting ARL with these initiatives is Jim Gillispie, Head, Government Publications, Maps, and Law Department, Johns Hopkins University Library, who is working with ARL on these issues as a visiting program officer. Copies of the Chicago and Dupont Circle Reports are available via ftp (ftp://ftp.cni.org/ARL/dupont.circle.group/post-chicago.txt).

GILLISPIE SERVES AS VISITING PROGRAM OFFICER

Jim Gillispie, Head of the Government Publications, Maps, Law Department at the Johns Hopkins University Milton S. Eisenhower Library, now serves as an ARL Visiting Program Officer. From December 1993 through March 1994, Mr. Gillispie will work with ARL's Prue Adler and the ARL Information Policy Committee to shape the Association's policy on the dissemination of federal government information. He will be focusing on the U.S. depository library program and the substantial opportunities for improved public access to government information to be gained from networked telecommunications. The Johns Hopkins University and ARL are supporting Mr. Gillispie's leave of absence.

Mr. Gillispie has been an active participant in issues regarding access to government-produced cartographic information. He served two terms on the Cartographic Users Advisory Council and is a former chair of both the Special Libraries Association's Government Information Section and the Geography and Map Division.

Mr. Gillispie is former editor of the "Government Publications" column in *Serials Review* and has written several articles on reference work and library instruction in map collections. Most recently he authored "Exploiting Cartographic Resources," a chapter in *Information Sources in Cartography*.

CD-ROM DEPOSIT AGREEMENTS UNIQUE TO LC

At the request of ARL, AALL, and ALA, the Acting Register of Copyrights confirmed that the recent CD-ROM copyright deposit agreements negotiated with and endorsed by LC and information industry and publishing associations are unique to the Library of Congress and the "unique nature of the copyright registration and mandatory deposit provisions of the Copyright Act." Excerpts of the Register's letter follow.

"The use restrictions contained in the deposit agreements are limited to deposits received through the copyright system, either by registration or mandatory deposit; these agreements do not and should not set any precedents concerning use of CD-ROMs acquired by the Library of Congress through other means such as purchase, or concerning use of CD-ROMs by other libraries.

"To elaborate on some of these points: the copyright registration and mandatory deposit provisions enable the Library of Congress uniquely among libraries in this country to acquire free copies. The deposit agreements give the Library a further benefit in allowing certain uses of the CD-ROMs (for example, in local area networks within the Library) and in assuring prompt receipt of a high-quality deposit copy. The publishers-producers in return receive assurances that the Library of Congress will monitor downloading from the CD-ROMs and will handle the deposits to assure their security.

"These agreements are distinct from the contracts the Library enters when it purchases a CD-ROM product. The deposit agreements give the Library prompt voluntary deposit of works that are subject to the agreements. In return LC has agreed to certain restrictions on the use of these copies of CD-ROM publications. Just as the deposit agreements have no effect on CD-ROMs acquired by the Library through purchase contracts, they do not affect in any way contracts made by other libraries or use of CD-ROMs in other libraries."

CREWS' COPYRIGHT STUDY PUBLISHED

The University of Chicago Press has released *Copyright, Fair Use, and the Challenge for Universities: Promoting the Progress of Higher Education*, by Kenneth D. Crews. "A principal objective of this study," writes the author in the preface, "is to identify and define a role for universities in the copyright equation and to show that universities need to reevaluate the relationship between copyright and higher education." The author, associate professor of business law at San Jose State University, has frequently contributed to ARL positions on copyright issues.

COALITION FOR NETWORKED INFORMATION

Paul Evan Peters, Executive Director

OPTIMIZING PUBLIC AND PRIVATE INTERESTS

The Coalition for Networked Information's Fall Task Force Meeting was held at the Westfields International Conference Center outside of Washington, DC, on November 19–20, 1993. In his introduction to the meeting, "Optimizing Public and Private Interests," the Coalition's Executive Director Paul Evan Peters stated that, as we contemplate the current National Science Foundation (NSF) network solicitation and the Clinton/Gore document *National Information Infrastructure: Agenda for Action*, the networking community is asking whether actions for the public good are being overtaken by actions for private gain. The Coalition leadership believes it is necessary to recognize a future in which both public and private interests will be served. Peters stated that our constituency is responsible for making sure such a future comes to pass.

In the opening plenary session, three speakers explored roles of public, not for profit, and commercial sectors in optimizing public and private interests in the national networking environment. Douglas van Houweling, Vice Provost for Information Technology, University of Michigan, stated that the NSF is currently reviewing proposals that will determine how the network should move to the next stage of its evolution. NSF will remove direct funding from support of the backbone and eventually remove support from the regionals. He noted that we are witnessing the development of elements of competitive service offerings into an environment that we previously saw as a non-competitive environment.

As the U.S. builds a National Information Infrastructure, what should be the role of higher education? The research and education community is now reaping the benefits of our success in building the network infrastructure. We bring to the national agenda our expertise, the intellectual property of our community, our role as testers of new networking technology, and our role as major network consumers. We must thoughtfully engage our capabilities to ensure that if our interests are different from "bottom line" interests, we make the case for our needs both inside and outside the Washington Metropolitan Area. We need to think how to engage the government, private sector, and colleagues in our priorities without violating our values. One alternative would be to continue to run the NSFNet and the NREN and to leave the development of the NII to the commercial sector, but we might miss our connection to the rest of society. We need to build the future, not sustain the past. We need to reach out and partner with others. Only by being part of the NII can we influence the balance between the public and private sectors.

John Black, Chief Librarian, University of Guelph, and President, ARL, presented a Canadian view of the relationships between the public and private sectors in the development of networks. He noted that, from the early days of the move to develop a truly high-speed national infrastructure in Canada, it was clear that some partnerships between the public and private sectors were going to be required. Black described two major initiatives, CA*Net, the Canadian high-speed backbone network, and the Canadian Network for the Advancement of Research in Industry and Education (CANARIE) project. CANARIE was intended to be industry led from its inception, and it is expected to encourage a stronger link between the research community and industry.

In addition, Black decried the lack of public debate and awareness among Canadians regarding networking issues and policy and praised the visibility that U.S. political figures, particularly Vice President Gore, have given to networking in the U.S.

Charles Blunt, Associate Vice Chancellor for Information Technology Services, Central Administration, State University of New York, described a telecommunications policy task force formed by Governor Cuomo in New York State. As background, Blunt described an economic backdrop of a period of transition where more citizens need more government services at a time of lower tax revenue to the state. The Task Force envisions the possibility that new communications technologies may give the public sector a way to re-engineer itself to become more client-centered.

Blunt stated that our challenge and our opportunity will be to deregulate and move to a choice market while maintaining standards. He called for a thoughtful and wide debate of policy, since there are many interrelationships between changes and values and they are not predictable. He asked, "Can this evolutionary process be guided in some way?" We want to empower people but not isolate some. We want freely available information but also a market for information. Today's community networks, broadcast television, cable television, etc., each have different sets of rules. We now have an opportunity to create information highway railheads where individuals can cross from public to private sector. The public sector, as a single community with standards of interoperability, can influence the market to move in positive directions. New York State already has a transport infrastructure built by the Telcos and cable companies. The problem is that we haven't applied it to public sector needs. We need to shape the existing infrastructure to do the work of the state. By creating virtual networks out of physical networks, we create communities. Blunt concluded by stating, "universities have been pioneers on the outpost of the electronic frontier, but folks, the gold rush is starting! Higher education can be useful in bringing in the settlers." He added that developments in networking are coming much faster than we expected three to four years ago. What some predicted two years ago would come about in 10 years is already available. However, network infrastructure is not enough. "This nation deserves information, not just a dial tone."

Optimizing public and private interests in the management of intellectual property, a key content issue in the development of networked information resources, was the topic of the second plenary session. A variety of perspectives were provided; all agreed that we are in a period of transition and that no one has definitive answers as to how intellectual property should be managed in the networked environment.

The closing plenary session focused on a key conduit issue: how to ensure access to the network infrastructure as commercial interests are increasingly represented in the marketplace. Charles Firestone, Director, Communications and Society Program, Aspen Institute, suggested that he would broaden the look at this issue to the national information environment, not just the highway. His thesis was that we should view developments in networking through the environmental context of co-evolving, adaptive systems, specifically the co-evolution of technology applications and regulations. He noted that the societal values that need to be balanced with commercial interests are equality and equity, a sense of community, the changing nature of community, efficiency, and the concept of participation.

Firestone provided a quick review of communications law in the past 40 years and concluded that the current pressing need is for a new paradigm for bringing together various sectors. He stated that it is very important that all constituencies be involved in the realization of the NII. This goal can be promoted by the government through loans, government power as a purchaser, outright federal grants, adoption of standards, and regulation. Firestone identified three areas in which he saw a role for government regulation: creating an adequate infrastructure, development of distribution mechanisms, and the reception end of the infrastructure. Such key issues as universal service and development of a system that will promote communities in all forms are some of the challenges ahead.

Marilyn Cade, Director of Technology and Infrastructure, Federal Government Affairs, AT&T, noted that she regards the NII as important since it builds U.S. global economic competitiveness, it provides overall societal benefits, and it has the potential to improve the quality of life for every American. She stated that the biggest challenges we face in developing the NII are not in the communications area but in regards to the human element. The infrastructure is far more than communications networks. We must have a wide variety of services and products at a variety of prices to achieve price/value optimization for each user.

The government can stimulate the NII by ensuring that a competitive marketplace develops. In cases where there may be some areas or sectors where the market will not survive or where we have policy objectives, some users should be directly subsidized. Cade suggested that it is important that we develop answers in a collaborative way and that we focus our efforts on three elements:

- developing a new definition of universal service, one that is flexible and that can keep pace with technology;
- developing an environment that encourages competition; and
- developing an environment that untethers us from using information in a specific place.

Laura Breeden, Executive Director, Federation of American Research Networks (FARNET) emphasized three features developed by the Internet community that are worth saving as the NII evolves:

- "every client a server," which implies that every information consumer on the network can also be an information producer;
- interoperability and openness in standards; and
- decentralization as the operational paradigm.

She suggested that the biggest influence the research and education community may have is as a large block of consumers of last-mile services.

Breeden suggested that appropriate government roles include: reducing risk, promoting equity, supporting standards development, making capital more available, providing leadership, and providing leverage. She contrasted her favorite Internet myths; e.g., that the federal government pays for the Internet, with what she described as less well-known facts:

- federal investment in the Internet is probably less than 10%;
- the federal government is a major purchaser of private sector telecommunications services;
- state and regional networks spend large portions of their operating budgets on telecommunications services and equipment;
- the majority of state and regional networks receive less than 20% of their funding through NSF; and
- Commercial Internet service providers include: ANS, CO+RE, CERFnet, PSI, NEARnet, Sprint, and UUNet.

Breeden concluded by stating that the picture is much more complex than orthodoxy leads us to believe, and she urged all of us to move beyond oversimplification.

Documents from the Fall 1993 Task Force Meeting are available on the Coalition server:

via FTP
URL:ftp://ftp.cni.org/CNI/tf.meetings/1993 b.fall
via Gopher
URL:gopher://gopher.cni.org:70/0/cniftp/tfmeets/1993b.fall

—Joan Lippincott, Assistant Executive Director

OFFICE OF SCIENTIFIC AND ACADEMIC PUBLISHING

Ann Okerson, Director

SURVEY SHOWS STABLE SERIALS CANCELLATION TRENDS

In the early fall, ARL sent out its fourth annual Quick-SPEC survey asking member libraries to share a sense of what serials and monographs purchasing trends will be for the coming academic year. As the data are requested early in research libraries' budget cycles, they are considered speculative and are not published in detail. They do, however, serve as a weather vane for the year ahead.

In October 1993, 103 ARL member libraries responded to the one-page fax survey. Fifty-seven libraries, or 55% of respondents, said they would be cancelling serials in the coming year, and 44 libraries had targeted cancellation amounts. The aggregate amount reported for those 44 libraries was just over $8 million, or an average of about $187,000 per institution. The highest cancellation amount targeted was reported as $600,000, and the lowest as $10,000. Seventeen libraries reported particular scrutiny of science subscription prices and other higher-priced areas. Respondents also questioned how well used the voluminous science journals actually are.

If the calculated per-library average of $187,000 holds true for 55% of all ARL libraries, serials cancellations throughout ARL might be as high as $12 million. As a comparison, in the 1992 survey, 72% of libraries reported cancellation plans. While the average amounts targeted last year were lower, the aggregate total dollars projected were a similar $12 million. This suggests that this year's financial realities are not worsening for research libraries.

In the arena of monograph purchasing, only 50% of libraries reported plans to reduce monographic purchases, as compared to 64% last year. Written comments suggested that libraries are trying hard to maintain book purchasing; where reductions are made, staff are looking closely at science areas where individual book prices exceed $100 per copy.

The authoritative source for ARL library purchases appears in the *ARL Statistics*, published in February of each year, for the previous academic year. According to the 1991 Quick-SPEC survey, members expected to cancel about $7 million worth of serials for the year 1991-92. The average ARL cost per serial title at that time was in the $140 range; therefore, based on the Quick-SPEC projections, ARL libraries in the aggregate would be dropping about 47,000 titles. According to Kendon Stubbs in the introduction to the *1991-92 ARL Statistics*, ARL libraries probably dropped closer to 60,000 titles overall, suggesting that titles canceled were below average in price. Previous summaries of Quick-SPEC purchasing trend surveys are included in *ARL 153, ARL 159*, and *ARL 166*.—*Ann Okerson*

Survey tabulation by Lisabeth King, ARL Office of Scientific & Academic Publishing

SYMPOSIUM EXPLORES GATEWAYS, GATEKEEPERS, AND ROLES

In the autumn of the year when the mass media discovered the information revolution, the third ARL/Association of American University Presses' joint symposium on Scholarly Publishing on the Electronic Networks was held in Washington, DC. The meeting was also made possible through the collaboration of the University of Virginia Library and the National Science Foundation. Symposium co-chairs were Ann Okerson of ARL and Lisa Freeman, University of Minnesota Press. Karen Marshall of the University of Virginia Library was chair of a Charlottesville session to see electronic publications conveyed to faculty and students and to focus on the emergent digital library and new forms of scholarly publication.

One hundred sixty symposiasts, representing university presses, academic libraries, scholarly societies, and faculty eagerly followed reports of new R&D and considered the significance and prospects of the growing cooperation between libraries and university press publishers. A rich and substantive summary of the symposium is available from osap@cni.org. Proceedings will be published in early 1994.

PROJECT MUSE AT JOHNS HOPKINS

The Johns Hopkins University Press, the Milton S. Eisenhower Library, and Homewood Academic Computing have joined forces to launch Project Muse, an effort that will enable networked access to the Press' scholarly journals. The goals of Project Muse are to make the journals available to students and researchers from their networked desktop computers; create an e-journal environment that is powerful, elegant, and easy to use; and determine amount and types of usage for an access and costing model.

The first phase of the project will be a pilot demonstration consisting of current issues of *Configurations*, *MLN* (*Modern Language Notes*), and *ELH* (*English Literary History*). In February, the fully formatted text of these journals will be available to the JHU community via online access to the library's server. Features include subject, title, and author indexes, as well as instant links to tables of contents and endnotes. Users will also be able to add voice and textual annotations and download PostScript files for printing.

After sufficient data have been gathered from the demonstration project, the JHU team will mount all 42 of the Press' journals in math, the humanities, and the social sciences. These issues will appear on a prepublication basis and will be available electronically a few weeks in advance of the printed version.

For further information, contact Todd Kelley, Milton S. Eisenhower Library (kelley@jhunix.hcf.jhu.edu), or Susan Lewis, Johns Hopkins University Press (suelewis@jhuvm.hcf.jhu.edu).

OFFICE OF MANAGEMENT SERVICES

Susan Jurow, Director

DANIEL SEYMOUR TO KEYNOTE AT CONFERENCE ON TQM AND LIBRARIES

Daniel Seymour, author of *On Q: Causing Quality in Higher Education*, will be the keynote speaker at the First International Conference on Total Quality Management (TQM) and Academic Libraries to be held April 20-22 in Washington, DC. The theme of the conference will be "Total Quality Management Programs in Academic Libraries: Initial Implementation Efforts." Seymour, the author of seven books, is a well-known consultant on quality issues and processes to both higher education and industry.

Conference program directors Susan Jurow, Director, Office of Management Services, and Barton M. Lessin, Assistant Dean, Wayne State University Libraries, are designing an overall program of interest to academic librarians, administrators, faculty, and other members of the higher education community interested or involved in total quality management programs in academic or research libraries.

Speakers and program sessions will address topics such as TQM and higher education; using the TQM management and planning tools; benchmarking; initiating and implementing a TQM program; building a continuous improvement climate; and facilitation skills for teams. Continuous improvement programs at academic libraries will be showcased. Special post-conference workshops are also planned for April 23.

The conference format will include formal presentations, panels, contributed papers, and poster sessions. There will be opportunities for networking, including a lunchtime "table-talk" session. Participation will be limited to 300 people. Early registration is encouraged. The registration fee for this meeting is $295 by March 1 and $315 thereafter. The post-conference workshop registration fee is $150. For more information or to receive registration materials, contact ARL Office of Management Services, (202)296-8656. —*Annette Verna*

OMS TO TEST BENCHMARKING METHODOLOGY

The Office of Management Services is undertaking a project to test the applicability of benchmarking methodologies in an academic library environment. The project will experiment with a single work function (the interlibrary loan process has been chosen), prepare a process flow analysis in three test sites, develop a family of measures for each activity, and obtain feedback from participants on the process.

The project will be designed and conducted by a consultant from the American Productivity and Quality Center International Benchmarking Clearinghouse and a library consultant. A staff member from OMS will coordinate and monitor the project, and provide assessment and recommendations for further action. The project is designed to analyze the potential of benchmarking methodologies for improving a library operation.

The project is being funded by the Council on Library Resources. The results will be reported at the First International Conference on TQM and Academic Libraries, to be held in Washington, DC, on April 20-22.

OMS TRAINING PROGRAMS 1994

Library Management Skills Institute I: The Manager*
Phoenix, March 22-25
Nashville, October 11-14

Library Management Skills Update I: Building Effective Performance
Baltimore, October 4-5

Library Management Skills Update II: Managing Priorities and Making Decisions
Baltimore, October 6-7

Library Management Skills Institute II: The Management Process**
Chicago, November 6-11

Implementing Continuous Improvement Programs in Libraries
Washington, DC, June 6-9

Training Skills Institute: Managing the Learning Process
Washington, DC, September 21-23

Resource Management Institute: Financial Skills for Librarians
Washington, DC, November 2-4

Management Skills Institute for Development Officers in ARL Libraries
Emory University, March 6-9

The following sponsored programs are open to general registration:

Library Management Skills Institute II: The Management Process**
Rice University, Houston, February 14-18
University of Utah and Weber State, Ogden, March 20-25

* *formerly Basic Library Management Skills Institute*
** *formerly Advanced Library Management Skills Institute*
For registration information, please contact OMS, at 202/296-8656.

ARL ACTIVITIES

G. Jaia Barrett, Deputy Executive Director

ATTRACTING MINORITY APPLICANTS

by Kriza Jennings, OMS Diversity Consultant

As part of the research for the OMS Diversity Project, I have held discussions with numerous minority professionals and graduate students to identify what prevents them from considering employment opportunities in academic and research libraries. As you will see, some of the concerns are the same as any job applicant would have. It is my belief that by addressing these issues early in the recruiting process, in job advertisements, in nomination letters, in telephone calls, and in personal conversations, it will be possible to attract more minority candidates and broaden an applicant pool by encouraging other non-traditional candidates as well.

Many of the issues identified as barriers are addressed when candidates come for interviews, but the sooner information can be provided, the more likely the minority candidate is to see the feasibility of applying for a position. It is important to remember that the individuals ARL libraries wish to attract may not be familiar with the environment, the people, and the formal and informal workings of these institutions.

Advertisements in professional journals often include so many duties that it can be overwhelming. Potential applicants may be able to accomplish most of the duties listed, but because they see one or two responsibilities for which they have little experience, they may feel it is inappropriate to apply. An indication of willingness to provide some on-the-job training would be one way of encouraging applications.

Long position descriptions listing required and preferred qualifications can also become internal barriers. Search committees may feel that they must interview only those individuals who have the most experience with every responsibility listed. This may eliminate minorities from the initial applicant pool.

Selling the geography is sometimes a bigger challenge than generating interest in a position. For example, there are assumptions that in certain parts of the United States and Canada a minority will experience more racism and prejudice. It might help to be explicit that ARL institutions employ and educate people from all over the world and to describe to what extent these institutions are multicultural environments, open and welcoming of diversity.

Minorities may know little about a particular geographical region and may formulate a negative opinion about a job based on stereotypes. Many libraries have developed informational packets to promote their city or town to send to prospective applicants. Packets might include brochures from the Chamber of Commerce, copies of articles from local papers, and other items that would indicate a rich and diverse cultural life.

One of the most common barriers identified by minority professionals and graduate students is the lack of resources to change one's residence. A move to another geographical area is a costly expenditure that may appear unattainable to many. Consider indicating in job advertisements an institutional contribution towards moving expenses.

A number of universities and colleges have programs to assist spouses of newly hired faculty and staff in the identification of institutions in the area that have positions available. If spouse's employment is a concern, identify how the institution is prepared to help or indicate what resources are available in the city to assist the spouse in locating work.

All candidates are interested in knowing if there will be opportunities for training and development, how their personal long- and short-term career goals can be addressed, if there is a formal mentoring program, and what means of communication enable the librarian to share concerns or to offer input about the library. Minority librarians are also interested in what is and has been the library's, university's, and/or community's involvement with diversity and multiculturalism. Consider sharing information on ARL's efforts with diversity and minority recruitment to demonstrate that this is an agenda for all ARL libraries.

Last, and perhaps most important, do not assume that minority librarians know what ARL libraries are, how they are unique, and why work experiences in research libraries are valuable, challenging, and rewarding. There are fact sheets and other information available from ARL that could be part of the packets mailed to potential applicants. To attract more minority librarians to ARL libraries, we must learn to anticipate better these concerns and sell our institutions to people who may not be aware of the opportunities and benefits that await them.

MINORITY RECRUITMENT CAPABILITY ESTABLISHED

Recognizing the importance of both a diverse workforce and an environment open and welcoming to diversity, ARL has established a permanent capability to work with academic and research libraries to develop strategies for recruiting and retaining minorities.

Beginning in January, Kriza Jennings, OMS Diversity Consultant, will work half time to develop programs that effect change in the composition of librarian professional ranks and institutional workforces. Ms. Jennings' strategy will focus on building cooperative programs between ARL libraries, graduate library education programs, library associations, and other kinds of libraries to promote minority student awareness of the opportunities presented by research library careers and to support their academic success.

KYRILLIDOU APPOINTED ARL PROGRAM OFFICER

Martha Kyrillidou has been appointed ARL Program Officer for Statistics and Measurements, effective by May 1. Ms. Kyrillidou comes to ARL from the Library Research Center, School of Library and Information Science, University of Illinois at Urbana-Champaign. She holds an M.L.S. and M.Ed. in Evaluation and Measurement from Kent State University and has completed her coursework for a Ph.D. at the Graduate School of Library and Information Science at the University of Illinois at Urbana-Champaign. In collaboration with ARL's Statistics and Measurements Committee, she will identify tools and techniques for measuring organizational performance and effectiveness of research libraries as well as maintain the current ARL statistics program.

Martha Kyrillidou
Program Officer for Statistics and Measurements

ARL TO MANAGE COOPERATIVE PROJECT FOR NRMM SERIALS RECORDS

ARL will manage a cooperative project for creating online serials records for the National Register of Microform Masters (NRMM) reports from three major research libraries: Harvard University Library, the Library of Congress, and The New York Public Library. Together these institutions hold close to 50% of the estimated 60,000 serials in the NRMM Master File. The project is funded by a newly awarded grant of $395,865 from the National Endowment for the Humanities, Division of Preservation and Access. The participant institutions are contributing substantial additional funding. On behalf of research libraries, OCLC is making an in-kind contribution of $63,472.

This 18-month project is a partnership among ARL, the Library of Congress, Harvard University Library, and The New York Public Library. The project will be carried out under the overall management of ARL. The three participant institutions will be responsible for preparing their reports and validating their holdings to allow inclusion of exact holdings information. The Library of Congress will also be responsible for the quality assurance program. Under contract with the OCLC Retrospective Conversion Services, the 29,522 serials records will be input in the CONSER database and in the OCLC Online Union Catalog.

This is the next phase of a complex, multi-year effort to provide on-line access to more than half a million bibliographic records for preservation microform masters. In December 1993, ARL completed the project for the retrospective conversion of the approximately 529,000 monographic reports in the NRMM Master File. With the exception of reports in non-Roman alphabets and records with insufficient information, all reports are available in the national bibliographic utilities.

WILSON FOUNDATION PROVIDES SUPPORT FOR NAILDD PROJECT

The H.W. Wilson Foundation has awarded $27,000 to ARL to support the North American Interlibrary Loan and Document Delivery (NAILDD) Project. The initiative seeks to promote developments that will improve the delivery of library materials to users at costs that are sustainable for libraries.

The ARL project represents a collaboration with a broad constituency comprised of librarians (academic, public, and state) and private sector developers and implementors of ILL and document delivery systems and services. Mary E. Jackson, Head of ILL at the University of Pennsylvania, has been granted an extended leave of absence through 1994 to serve as ARL Visiting Program Officer and NAILDD project director. Previous project support was provided by the University of Pennsylvania and the Council on Library Resources.

TRANSITIONS

Illinois at Urbana-Champaign: Robert Wedgeworth has been named university librarian. He has served as interim university librarian since September 1992.
Library of Congress Copyright Office: Barbara Ringer has been appointed Acting Register of Copyrights.
U.S. Government Printing Office: Michael Di Mario has been confirmed as Public Printer.

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In Memoriam: John P. McDonald, Director of University of Connecticut Libraries Emeritus, died November 19. He served as President of ARL in 1971/1972 and Executive Director of ARL from 1974 to 1976. During this period, he fostered a leadership role for ARL in the revision of the copyright law and in the development of Title II-C of the Higher Education Act.

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ARL CALENDAR 1994

February 28 – March 2	National Federation of Abstracting and Information Services Primary and Secondary Publishers — Time to Talk Philadelphia, PA
April 5-6	Coalition for Networked Information Spring Task Force Meeting Washington, DC
April 6-8	National Net '94 Washington, DC
April 20-22	1st International Conference on TQM in Academic Libraries ARL OMS/Wayne State University Libraries Washington, DC
May 17-20	**ARL Board and Membership Meeting** **Austin, TX**
June 23-30	American Library Association Miami, FL

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AMERICA'S LIBRARIES: DISTINGUISHED PAST, DIFFICULT FUTURE

by Warren J. Haas

The following paper was presented by the author, former President of the Council on Library Resources, to the Autumn General Meeting of the American Philosophical Society, November 11, 1993, in Philadelphia.

AMERICAN LIBRARIES — I concentrate here on the two primary types, research libraries and urban public libraries — have a long, distinguished, and generally stable history marked by steady growth of collections and expansion of services in response to user needs. But, at irregular intervals, the predictable and tranquil library is shaken by periods of fundamental change. The intent of this paper is to describe the reasons for and effect of two or three of these periods of transformation and then to consider what lies ahead, with some attention to certain matters that require serious attention if libraries are to flourish, as I am certain they must.

We might begin with the founding of Harvard's library in 1638, but given this setting, it is appropriate that we take 1731 as our starting date, for it was in that year that Benjamin Franklin, then 25 years old, formed the world's first subscription library — the Library Company of Philadelphia. Within a few decades, subscription libraries were established along the Eastern seaboard from Maine to South Carolina, and the principle of accessible collections of books for the use of citizens, neither wealthy nor affiliated with an educational institution, was born. These subscription libraries, some of which still exist, were the precursor of the American public library.

The natural transition from subscriber-funded to tax-based financing of libraries came more than a century later, first in Peterborough, N.H., and then, most visibly, in Boston in 1854 — our first urban public library. The number of libraries grew rapidly and stimulated, in 1876, the founding of a professional association, a professional journal, the first training program for librarianship, and the Dewey Decimal system of classification. In that year of the American Centennial there were more than 3,500 public, academic, association, and religious libraries in the country, but many had collections of only a few hundred books. The largest by far were Harvard, with 228,000 volumes, and the Library of Congress, established in 1800, with 293,000 volumes. (Dickson 1986, 20)

The first period of fundamental change in American library history came during the years that bridged the turn of the 19th century. Stimulated by the industrial revolution that brought large quantities of inexpensive paper, high-speed printing, and great increase in book production; supported by an aspiring and increasingly literate population; and favored by a new level of purposeful philanthropy, the library structure of the country took a great step forward. A brief checklist will illustrate the point.

In 1896, the Library of Congress moved from rooms in the Capitol to what is now the Thomas Jefferson Building, the first of the three buildings that house the Library today. A year later, the Librarian of Congress wrote to diplomatic personnel abroad, requesting that they seek and send to the library all publications that would add to the sum of human knowledge. In 1901, the first sections of the new L.C. classification system were published, and the catalog card distribution service was established. (Cole 1993)

At roughly the same time, the Tilden Trust and the Astor and Lennox Foundations joined forces to create the New York Public Library, and soon after, construction was begun on the building at Fifth Avenue and 42nd Street. The new Boston Public Library Building was opened in 1890, featuring, rather than the traditional screened-off stacks, open shelves, and unimpeded access to books by users.

Most notably, Andrew Carnegie, by a single action, transformed the public library scene. Carnegie provided funds to 1,412 communities to build 1,679 library buildings, with the provision that adequate operating funds would be provided by those communities. (Dickson 1986, 46)

The events of these twenty years — from 1890 to 1910 — enabled libraries to cope with the growth of the decades to come and, as important, signaled broad-based public support, reinforced library dedication to open access to information for all, established the principle of standardization for the basic bibliographic structure, expanded collecting objectives, and demonstrated a professional shift from caretaker to provider of responsive service.

A second transitional period, notably for academic libraries, came with the end of World War II. Again, it was growth that forced change; this time growth in the number of students and growth in research activity demonstrated by great increase in the number and size of graduate programs, expansion of post-doctoral studies, and the development of dozens of new fields, all stimulated at least in part by the war and made possible by its end.

New library buildings, often of great size, appeared on almost every campus to accommodate students and rapidly growing collections. The challenge was to grow fast enough and to spend effectively rapidly rising annual budgets in order to meet needs of students and the escalating requirements of researchers. Libraries turned to cooperative collecting ventures to assure coverage and began to look to computers to help handle the high volume of purchasing, cataloging, and circulation. The emphasis was on improving management of large staffs and growing collections. Not only did libraries change their scope and operating methods, but schools of library science more than doubled in number to meet the demand for librarians in what proved to be a short-lived era of affluence.

The creation by the federal government of an Advisory Commission on Libraries in the mid-1960s and, especially, the formation in 1967 by the American Council of Learned Societies (ACLS) of a Committee on Research Libraries, capped the intense activity (some would say chaos) of these years of growth and, in effect, sought to consolidate and rationalize the gains. Some had already realized that a straight-line projection of ever-rising funding for libraries from the recent past into the indefinite future could not be sustained.

The ACLS Committee — university and foundation presidents, prominent members of the scholarly community, and several library directors (all 19 of them male) — published its report (ACLS 1967) with eleven specific recommendations for action that endorsed and amplified the directions libraries had taken to meet ever-rising levels of user expectations. In general terms, the recommendations called for a strong federal policy and planning role for the core of library and archive activities. A permanent National Commission on Libraries and Archives was advocated. The Commission was to assume responsibility for shaping federal policy and programs relating to the nation's library, archival, and information needs. Three complementary recommendations spelled out the Commission's functions relative to the acquisition of research materials, the development and coordination of bibliographic programs, and the planning and coordination required to improve library services through "modern" technology. It was further recommended that the Library of Congress be designated as the National Library and that an Advisory Committee be appointed, on the assumption that LC would be the agent to carry out many National Commission programs.

Other ACLS recommendations reflected concern that projected copyright legislation not jeopardize scholarly inquiry and underscored the need for permanent and durable paper in the production of books by both the government and commercial publishers in order that the already visible problem of deteriorating collections might be contained in the future.

As might be expected, the ACLS committee called for financial support for libraries from the private sector and foundations, from state and local governments, and from the federal government, especially through existing sections of the Higher Education Act of 1965, and urged the extension of public funding programs to independent research libraries such as the Library Company of Philadelphia, the American Antiquarian Society, and The Folger Shakespeare Library. Of special interest is the specific request that funding for library schools be increased in order that those schools might move beyond emphasizing the technical aspects of librarianship and pay more attention to scholarship, both for research in the field of information studies and for the development of more librarians with scholarly interests pertinent to the work of research libraries.

Where did this carefully developed set of ACLS recommendations lead? A National Commission on Libraries was established and still exists. After a promising beginning with a distinguished core of members, the Commission has slipped into the background. Over time, the appointment process was politicized and some members showed little understanding of, or interest in, key questions; others concentrated on special interests at the expense of the basic issues initially identified for attention. Commercial objectives and academic interests were often at odds. Funding for the work of the Commission has never been adequate. It is also fair to say that there proved to be no real interest among libraries, either within or outside government, in a new federal body charged with setting library policy.

In the areas of collecting and bibliographic control there has been and continues to be great progress, not by the means proposed, but by the efforts of both established and new library organizations and of the Library of Congress. The Online Computer Library Center (OCLC) and the Research Libraries Group (RLG) have built very large computerized bibliographic databases — in essence, national catalogs with holdings information — available online to members and subscribers, both in this country and abroad, for contributions to and use of the files. Chinese, Japanese, Korean, Slavic, Arabic, and Hebrew languages are routinely handled in these systems. In addition to reducing cataloging redundancy among libraries and expediting interlibrary loan, the files have paved the way for article delivery services. RLG has also developed widely used bibliographic systems customized for the special needs of museums and archives. The Library of Congress, the largest producer of new catalog records, is linked to these large service files for online updates and editing in a cooperative cataloging project involving a group of participating research libraries. These same files can also serve as a foundation for a national cooperative collection development program, should that objective be one day taken more seriously than it is now.

The Library of Congress is still not the National Library. There is now some recognition that, in this era of unlimited generation of information, it is unlikely any single library, however great and distinguished, can fill all aspects of the traditional role of a national library. There are too many actors and conflicting interests in the information world. Perhaps the Library of Congress, in full and equal partnership with selected research libraries and institutions that are committed to maintain collection distinction in designated areas and, equally important, capable of providing, beyond their own walls, the level of service that expansive scholarship and learning require, will one day become a national library of a different kind. Public funding for the incremental costs incurred by the partners for their public service may well prove to be the cost-effective way to assure unbounded access to information for the public at large.

A new copyright law has been passed and seems reasonably workable in the areas it covers, but the matters of information ownership and the mechanics of exercising rights in a digitized environment where control of the form of original content, much less the content itself, are not settled, and the obvious conflict between the goal of open access and the implied requirement of controlled use is not near resolution. There is some hope, however, for the topic is now getting attention from the Association of American Universities and Harvard's Kennedy School of Government.

Exceptional progress has been made on the preservation front. A national, and even international, coordinated effort is well established. In a continuing program, the contents of more than 550,000 physically deteriorated books have been copied on archival microfilm to assure long-term protection, with NEH and foundation funds supplementing library budgets to meet the cost. A growing number of new books are published on permanent and durable paper, and experimental work is underway to develop systems that will convert both print and film to digitized form for storage and transmission. Preservation, with its essential counterpart — access to what has been preserved — is becoming one of the true success stories of the nation's libraries. The operational and technological elements of today's preservation program may well provide the pattern for library evolution, one where the form of information (print on paper, microform, digital) can be readily changed to meet the differing requirements of use, transmission, or secure storage.

Federal funding for libraries held steady for a time after the ACLS report, but, with the exception of preservation, it has greatly declined in recent years. State and local funding for annual operating budgets has fluctuated with conditions, but the trend has been down. In general, business never responded. Only the foundations increased funding for libraries and expanded programs to stimulate innovation. There is now strong evidence that library decline is systemic in research universities, where the library portion of total general and educational expenditures has fallen in each of the past ten years. (Stubbs 1994). A curious exception to the general erosion of support, and perhaps an indicator of the gap between public aspiration and ability to pay, is to be found in the large number of bond issues approved for the construction of new, often very large, public library buildings in many of our major cities.

While many of the specific objectives identified in the ACLS report have been attended to in whole or in part, there are a few serious omissions. Archives and libraries are still unnaturally isolated from each other, and the development of an effective working relationship between public and academic libraries, now possible given bibliographic and technological capabilities, is still largely unexplored.

Of greatest importance, the ACLS call for more emphasis on scholarship in library education has gone largely unanswered. As a result, technique (whether in using computers in libraries or constructing bibliographic records — it is all the same) has dominated. The credibility of the intellectual and academic base of the profession has suffered to the point where some of the historically strongest library schools have been closed by their parent universities. The reasons given vary; economic retrenchment and the characteristics of many library schools — small size and an atypical professional school enrollment — are most often mentioned. But the fact remains that, despite some exceptions, the overall importance and quality of library science research and its perceived pertinence to broad university objectives, has been questioned. The intellectual foundation of professional education has narrowed and become derivative at a time when expansive thinking and intellectual rigor are called for. Permitting the degradation of library and information science education is the single greatest failure of the library community in the post-war period. Looking back, it would have been much wiser to have doubled the enrollment and increased the scope and quality of the library schools existing in 1955 or 1960 rather than doubling the number of schools.

Today, just three or four decades after the post-war period of transformation, libraries are again challenged. Early in the computer age, great change in the methods of information storage and retrieval was predicted and libraries, in their purposeful way, skillfully adopted information technology, especially in the bibliographic arena. But very few imagined in the 1950s and early 1960s the real nature of the revolution that is, even now, still gaining momentum. Computer processing speed and storage capacity move towards once inconceivable levels; text, images, and sound are now integrated; and a communications revolution not only squeezes more and more capacity from copper and glass lines but wireless technology promises to open the way for digital links unencumbered by the limits of terrestrial wires and cables.

In short, there are no technological constraints on what we can do. This realization has become increasingly obvious in the past decade or so, but the implications for libraries are still unclear to all but the most zealous promoters. The present challenge for libraries is to consider how the capabilities of information technology can most usefully be employed for library purposes and, in the process, to reshape libraries so that long-established responsibilities might be fully met in what promises to be a very different future.

Those who see libraries as institutions awaiting extinction in the glow of electrons and photons need to be reminded of the essential functions of libraries and librarians, and asked what it is, in the foreseeable future, that will assume the role of these durable institutions.

The content of libraries is the foundation for the scholarship of the future. They consolidate and give order to the human experience. They select, assemble, preserve, and make accessible the record of human activity, whatever the form or content of that record; by their visible presence, their combined collections and their expanding services, libraries enable individuals and societies to use, as they will, what has been learned, created, and experienced. More than any other institution, libraries work to provide equitable access to the full record for all — the rich and poor, young and old, connected and unconnected, and the geographically remote. Libraries help audit the workings of the information structure to assure that information is not lost and its validity is not degraded. Most important, in a competitive, complex, and sometimes contentious information world, librarians are, first and foremost, persistent advocates of the public interest. Information technology will not supplant libraries; rather it will enable them to do their job in a far different setting than Franklin knew in 1731. He would have relished the challenge.

This overview of lessons from the past, coupled with the volatility of the present, suggests that immutable plans are not the answer. Not long ago, a distinguished academic leader noted that he didn't object to long-range planning so long as it didn't curtail the possibility of capitalizing on unanticipated opportunities. The same view is pertinent for libraries, but if they are to be in a position to lead rather than react, improvement on several fronts is needed.

First, to meet their fundamental responsibilities, libraries must seriously reconsider how they are internally organized in the context of a projected fully linked digitized network of libraries and information resources. In order that actions taken might move towards the future rather than perpetuate the past, an idealization process should be employed to discover an operating structure that will encourage the development of effective and financially realistic means to long-established ends. Even as they seek to be responsive to many different interests and needs, libraries, because of their very nature, must also consider how they might be a cohesive force in an overly fragmented information world.

Second, the definition of the profession and the composition of library staffs need revision in order that service capabilities might reflect the reality of the complex world in which libraries now do their work. Many staff members must acquire a high level of knowledge and maintain an active interest in pertinent subject fields if they are to build and maintain collections and guide users through the maze of bibliographic and information resources. Librarians need to teach as well, especially in collegiate settings, so that students who will live their lives in the information age might understand the structure of the information systems supporting major disciplines, the organization of knowledge, the economics of information, direct and indirect forms of censorship and control, and the information policy issues that will, when resolved, affect our society in fundamental ways.

Not every librarian must be an experienced administrator, but all must know what good administration is. Some must be specifically trained in management methods so that staff, collections, and funding can all be brought to bear effectively on the work at hand. By the same token, while all staff will necessarily know how to use technology, not all must have the level of skill required to develop performance specifications, to assess the capabilities and economics of projected systems, to oversee local installations or to negotiate network affiliations. In short, the staff of libraries must include individuals with diverse interests and abilities. The successful library will be manned by specialists held together by a common cause.

Third, more must be learned about the capabilities and limits of technology in the work of assembling, controlling, and using information for the purposes of teaching, learning, and living. Unless the information age helps individuals — all individuals — to make better use of what is known, this point in time will fall short of its promise. The public good needs to be explored, articulated, and pursued. It is time to focus academic research on the central issues that now face libraries and librarians, those that directly affect the capacity of libraries and related information services to stimulate and expedite use of the human record in ways that will support personal and public progress.

Finally, instead of casting yet another plan for the future, a credible method for periodically assessing the performance of America's libraries and the information services supporting teaching and learning must be developed. This should be a national (but not governmental) undertaking, and the judgements should be made, with the help of librarians, by representatives of those who use and depend on libraries for a wide variety of purposes and by those who speak for the public and institutional entities that provide the funding. The objective is to strengthen the hand of librarians as they join with others to guide and adjust the products of information technology so that the public benefits are substantive and the requirements of research and scholarship are attended to. The meaning of the information age must be defined, at least in part, by those who are committed to the principles that guide America's libraries.

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Current Issues

STEPS TOWARD A NEW U.S. COMMUNICATIONS POLICY

by Prudence S. Adler, Assistant Executive Director - Federal Relations and Information Policy

On January 11, Vice President Gore, in a major policy-setting speech, noted that, contrary to the past decade, "a remarkable consensus has now emerged throughout our country, in business, in public interest groups, and in government," to rethink and restructure the Nation's communications laws. In the past, Congress, the Administration, industry, and public interest groups have been stymied regarding how best to rewrite the Communications Act of 1934 and related legislation. Bills have languished in congressional committees due to major differences in both approach and philosophy. But in the past few months, the mergers and realignment of the telecommunications, entertainment, and related industries have challenged the existing legal and regulatory system. This has fueled a sense of urgency to find consensus about how to restructure the current regulatory regime and thus determine how industry will provide and how consumers will access services and information in the years ahead.

Congress and the Administration have set a goal of completing legislation this spring, prior to the debates regarding health care. In the rush to restructure the nation's communications infrastructure, it is important to keep sight of public needs and to reserve public spaces in this rapidly changing and marketplace driven environment.

Vice President Gore's speech reflects the convergence of technologies and the blurring of lines in the provision of services by cable, telephone, broadcasters, and other service providers. Telephone companies are ready to provide cable services and cable companies are primed to move in new directions, such as telephony. In the midst of this convergence, traditional roles may no longer apply as consumers and providers alike are struggling to move concepts such as universal service forward into the twenty-first century. Equally difficult to pin down are definitions of "network" services, which may vary depending upon the community; e.g., in the telephony, broadcast, and Internet environments. And, advances resulting from the High Performance Computing Act of 1991 and related networked-based activities have stimulated new activities and expectations, as well as uncertainty from the library, education, and research communities regarding how these applications and uses may fit in the emerging information infrastructure. Such is the challenge for the Administration, Congress, the public interest community, and industry — defining the new roles and responsibilities emerging from the convergence of technologies and anticipating the potential opportunities and impacts on different and diverse communities.

The Administration looks to the private sector and the marketplace to develop a robust telecommunications system. At the same time, there is a recognition within the Administration that there are public needs that must be met in the new regulatory framework that develops. To this end, the Telecommunications Policy Roundtable (TPR) statement of principles (see *ARL* 171, November 1993) constitute essential elements to be included in the ensuing debate.

Administration Goals and Proposals

In his State of the Union message, President Clinton spoke of his support "to connect every classroom, every clinic, every library, every hospital in America into a national information superhighway by the year 2000." The Clinton-Gore proposal is based on five principles:

- encouraging private investment in the NII (national information infrastructure);
- promoting and protecting competition;
- providing open access to the NII by consumers and service providers;
- preserving and advancing universal service to avoid creating a society of "haves" and "have nots," and
- ensuring flexibility so that the newly adopted regulatory framework can keep pace with the rapid technological and market changes that pervade the telecommunications and information industries.

The Federal Communications Commission would assume a great deal of authority regarding all future communications policy with the goal of "a flexible, adaptable, regulatory regime that encourages the competitive provision of the broadband, switch digital transmission services." Provision of such broad authorities to the FCC could provide new challenges to the library community as these deliberations are lengthy, costly, and typically entail extensive legal expertise. In addition, such a role for the FCC would entail changes to the current system of state regulatory authority.

Key Administration objectives that support the principles include:

- cross ownership of services — between cable and telco providers — would be permitted though telephone companies would be prohibited from acquiring cable systems in the telephone companies' local exchange area;
- local competition would be promoted and some repricing of local services could be allowed to avoid "rate shock" or increases to consumers;
- federal regulators would determine whether the regional bell operating companies (RBOCs) could provide long distance services, these companies would be permitted to offer information services, and there would be no restrictions on R&D and manufacturing;
- the FCC would be required to enact non-discriminatory access obligations on cable television stations with exceptions for technology, costs, and market conditions; and
- the goal that all classrooms, libraries, hospitals, and clinics in the United States be connected to the NII by the year 2000.

The Administration is promoting these principles via legislative proposals in the House and Senate. Throughout this debate, the Administration has been open to comment and input from all communities. Vice President Gore convened a series of meetings prior to the January 11 speech. Members of the public interest community were included; Prue Adler represented ARL. In addition, the Administration appointed members to the Advisory Council on National Information Infrastructure. Toni Carbo Berman, Dean and Professor, School of Library and Information Science, University of Pittsburgh, is a member of the Council.

Congressional Initiatives

Bills in the House and Senate propose broad, sweeping changes to the current legislative and regulatory system and address the new realities of the rapidly changing telecommunications arena. In the House, H.R. 3626, the Brooks-Dingell bill, and H.R. 3636, the Markey-Fields bill, are the focus of these discussions along with S. 1822, the Hollings bill in the Senate. There are significant differences between the House bills in how to create the new competitive marketplace between the telephone companies, long distance carriers, and cable providers. The Senate bill seeks to combine, where possible, the two House bills. Pieces of the Administration's agenda can be found in all of the bills. Hearings in the House and Senate over the course of the next few months will likely result in changes to all of the bills. Other legislative vehicles such as H.R. 1757, the National Information Infrastructure Act of 1993 and Title VI of S. 4, the National Competitiveness Act of 1993, address networking applications areas.

Library Community Response

In response to the President's State of the Union Address and the Vice President's call for connecting schools, libraries, health clinics, and hospitals by the year 2000, ARL and ALA identified a series of options to make such connections a reality and prepared a working draft paper to promote such connections. These options address issues relating to connecting these institutions and to cost issues once connected (e.g., preferential rates).

In a letter to the Assistant Secretary of Commerce, the associations supported "Vice President Gore's assurance that there will be public lanes on the information superhighway." Noting that, "this new regime will enable telephone, cable, direct broadcast satellite, and other major commercial telecommunications companies to enter new lines of business with little or no government regulation, thus creating new services for the public and significant new economic opportunities for themselves and their shareholders … these beneficiary companies should guarantee access to meaningful services for institutions with public missions such as libraries, educational institutions, hospitals, and clinics, in exchange for the significant economic opportunities they will receive under the legislation."

Some of the ARL/ALA connections options build on proposals under consideration elsewhere. Key points include:

- Provision of Advanced Facilities/Services: The elimination of structural, line-of-business and cross-ownership provisions must be linked to the immediate duty to provide advanced facilities and services to the library, education and health care communities (LEH). Those carriers opting to operate in the new regulatory framework (all Title VII or equivalent, as noted in the Clinton-Gore proposal), in return for substantial deregulation, must agree to a timetable for modern facilities deployment to all LEH users throughout the geographic region within which the carrier operates.
- Least Cost Access: Carriers must provide LEH users with least cost access to the same inventory of services, functionality, and features as those delivered to large volume corporate users, regardless of location and proximity to carriers. The LEH constituency should have "most favored user" opportunities to tap into these new features without regard to location, particularly as telecommunications costs increasingly become distance insensitive. Least cost access means that these institutions should pay the lowest per unit cost charged by carriers to their most favored, high-volume users.
- Preferential Rates for LEH Users: Provisions in the Hollings bill call upon "telecommunication carriers that use public rights of way to permit educational institutions, health-care institutions, local and state governments, public broadcast stations, public libraries, ... to be eligible for preferential rates." The FCC is directed to develop regulations. A related proposal is also included in an Administration White Paper on Communications Act Reforms.[1]
- Encourage Aggregation of LEH Demand: Educational institutions, libraries, and health care facilities may find it useful to come together to purchase and administer telecommunications and information services. Such LEH aggregation of demand and purchasing power should be specifically permitted through legislation, and should be encouraged and supported through options listed here or through other means such as government support of pilot projects, research and demonstration projects, and other grant programs. Aggregation would make a least cost pricing approach less burdensome for the carriers.
- Reserve Capacity for LEH Users: To the extent that identifiable channels or spectrum are used, reserve a portion of capacity for public purposes, such as LEH users, and for public and nonprofit programming. Such capacity would be allocated by a regulatory agency among eligible entities. While capacity reservations may be appropriate in the context of video dialtone platforms, the concept may be unworkable in the digital, broadband environment where there may be no fixed channels to allocate. This final option is closely related to an American Public Television Stations proposal that seeks to reserve "as public capacity a portion of the capacity in each telecommunications highway, regardless of its configuration or technology."

For a copy of the ARL/ALA *Suggested Approaches to Implement Administration Goal of Connecting to the NII Every Library, School, Hospital, and Clinic,* send e-mail to prue@cni.org. An opportunity to discuss the "public right of way" or public view of the emerging infrastructure will occur at an upcoming public interest summit. The summit, hosted by the foundation community and NTIA, will be held on March 29. Vice President Gore has agreed to speak at the summit. Additional information on Canadian and U.S. activities is available in *The Emerging Information Infrastructure: Players, Issues, Technology, and Strategies/Proceedings of the 123rd Meeting,* to be published by ARL this month. ■

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[1] The white paper and other Administration proposals are available from nii@ntia.doc.gov.

ARL TO PUBLISH PROCEEDINGS ON EMERGING INFORMATION INFRASTRUCTURE

This spring ARL will publish *The Emerging Information Infrastructure: Players, Issues, Technology, and Strategies.* The report consists of the edited presentations and discussions from the October 1993 ARL Membership Meeting program.

The proceedings address the approaches taken by the U.S., Canadian, and North Carolina governments to the development of an information infrastructure, the perspectives on these developments from four stakeholder communities (telecommunications, computer, education, and public interest), and the policy issues that are raised by the emerging information infrastructure.

The Emerging Information Infrastructure will be issued as Part I of *Proceedings of the 123rd Meeting* of ARL. The material is published separately due to the high level of interest in the program topic. Part II of the *Proceedings* will be issued subsequently. This occasion also marks a change in the title of the series, published since 1932 as *Minutes of the Meeting.* The change of title is to reflect better the substantive nature of the series.

Upon publication, the report will be sent to recipients of standing orders for the series *Minutes of the Meeting.* Individual copies of *The Emerging Information Infrastructure* will be sold for $25 for ARL Members, $35 for all others. Nonmember orders must be prepaid.

CELEBRATING LIBRARIES: A LINK WITH HUMANITY, PAST AND PRESENT

by David Kohl, Dean of the University of Cincinnati Libraries

I mentioned to a close friend that I was trying to write something about celebrating National Library Week. I got a dubious look. "I think libraries are great places," she said, "but you don't celebrate libraries. I mean, maybe librarians celebrate libraries, but you guys work there. The Reds winning the pennant or the Bearcats getting into the Final Four — that's what the rest of us celebrate." She had a point; how can you really talk about "celebrating" libraries?

After a lot of thought and wadded up paper, I gradually came to the conclusion that the problem lies in the way most people define libraries. If the word "library" conjures up an image of a building, the face of a kindly or authoritarian librarian, or even a collection of books and journals, videotapes, and records, I think they are likely to miss the point. No matter how fondly or appreciatively we regard these images, they are not what a library really is. Neither would these and similar images be much of a basis for celebration. Such views might justify Library Appreciation Week perhaps, tea and cucumber sandwiches, but not champagne corks popping in the locker room.

If the word "library" conjures up an image of a building, the face of a kindly or authoritarian librarian, or even a collection of books and journals, videotapes, and records, I think they are likely to miss the point.

What a library really is, and what we can truly celebrate, is a kind of idea — an idea with two parts.

The first part is based in the only features unique to human beings. This is our ability to pass on experiences from one generation to another or from one part of the world to another without the teacher being physically present. In other words, human beings can store their cultural experience. For example, an Egyptian scribe dead for over 5,000 years can talk to you directly about his views on death and the afterlife. No other species on the planet or in the planet's history can or has done this.

As a result of this unique ability, humankind has created a vast treasure house of experience. Down through the ages we humans have created a wonderful cornucopia of ideas, technical information, wisdom, and above all, stories — stories to inspire, to encourage, to shed the light of insight, to succor the lonely and to comfort the anguished. And where do we gather and preserve this rich tapestry of human experience? It is, of course, in the libraries.

The second part of the idea that constitutes "library" is largely of American origin. This is the astonishing notion (contrary to the general practice throughout most of history) that the cultural heritage created by all of us, belongs to all of us. The experience of humankind is the birthright of all and not the private property of an elite or special group whether such groups are political, economic, social, or religious. It is in the United States that we have the strongest tradition of free, public libraries and the strongest legal traditions (for example, fair use doctrine) to allow the sharing of that knowledge.

What is a library then? A library, whether the immense collections of the New York Public Library, guarded by its majestic stone lions, or our friendly neighborhood branch with its circle of 3- and 4-year-olds listening to a librarian reading a story, is really just a collection of voices preserved down through the ages from all over the world, ready to speak to any or all who can appreciate or need them.

The voices are as rich and diverse as human experience itself. They are the voices of the best minds, though sometimes disturbed and twisted minds; of the most insightful visionaries, though sometimes demented, tortured souls; of the most wonderful story tellers, though also of cliché-ridden hacks. There are good examples and warning examples, but they all have lessons for us. They are all part of our common heritage.

They are the voices of those who help us understand what it means to be human, to rejoice in the world, to appreciate and understand our relationships, to help and encourage us as we wrestle with our fears and anxieties, to assist us in healing our hurts and pain, and to provide guidemarks and danger signs for our ongoing journey into the future.

The existentialists were wrong, you see. The human condition is not one of loneliness and despair, but of community. John Donne had it right when he said that no man was an island, that we are all joined to the whole — and it just so happens that the joining, the connection to the whole, is made possible by our libraries. Our libraries provide the link between the individual and the collective experience of the human community, past and present.

Now that's worth celebrating. ■

In recognition of National Library Week, April 18-24, this essay is reprinted from the Cincinnati Post *with the permission of the author.*

CHANGE PROPOSED FOR U.K. UNIVERSITY LIBRARIES

by Fred Friend, Librarian, University College London

Because the last national report on U.K. university libraries was published 27 years ago, there was a great deal of interest in the announcement last year from the Higher Education Funding Council for England of a library review to be chaired by Sir Brian Follett, a distinguished scientist and now Vice-Chancellor of the University of Warwick. The Review could provide U.K. academic librarians with a once-in-a-lifetime opportunity to have their concerns recognised by the body through which U.K. government funding is channelled to universities. Welcome for the announcement of the review was tempered, however, by the realisation that some grand reports promise a great deal and deliver nothing. The 1967 Parry Report was remembered for its recommendation that 6% of a university's budget should be devoted to library provision, a recommendation that was not widely implemented, so everybody concerned wanted a report that was realistic and would contain practical recommendations.

An important factor in any such review is the membership of the review group and its method of working. Although the review began with the English Funding Council, Scottish, Welsh, and Northern Irish representatives joined the review group; researchers do not stop at borders when they are using libraries within a small country like the U.K. The review arose from a concern that library facilities were not adequate to cope with the major expansion in undergraduate numbers that the U.K. has experienced over the past few years, but university research staff soon said that the review should consider their interests as well. Distinguished people like Sir Anthony Kenny, the President of the British Academy, were added to the review group to represent the research community. Librarians also made sure they were represented and in particular had a strong influence upon the three sub-groups through which much of the detailed work was conducted, on Funding and Resources, Management of Libraries, and Information Technology. Each of the sub-groups consisted of academic staff and librarians, some on the main review group, others not. In turn the sub-groups met with representatives from other bodies on particular issues. The input into the review was widened even further by Sir Brian's active seeking of views from any interested party.

There are over 40 specific recommendations in the Follett Report. Some are intended to establish good practice in individual universities, such as the need for each university to draw up an information strategy, seeing library provision as part of a university's total information resource. Several good recommendations came through the Information Technology Sub-Group, which was chaired by Lynne Brindley, Librarian at the London School of Economics. For example it is recommended that the funding councils "should provide £2 million over three years to support a series of projects to elevate the status and acceptability of electronic journals and to prepare the way for multi-media electronic journals." As yet we do not know whether such funding will be forthcoming, but I believe the chances are good, and I and others are busy on ideas for projects to put forward. It will be important that we build upon rather than duplicate work in North America and that we co-operate with publishers.

One of Sir Brian's principal concerns was the journal price rise problem. Amongst librarians there is already trans-Atlantic co-operation on this question, but not a great deal of academic co-operation, so I believe it is a useful recommendation from the Follett Review Group "that the Committee of Vice-Chancellors and Principals seeks co-operation with the Association of American Universities and other appropriate U.S. bodies, to find practical and effective ways of influencing the periodicals market in a manner which both provides value for money for periodical purchases and a fair return for publishers." The assistance of ARL in the implementation of this recommendation could be very beneficial.

The report runs to 83 pages, so it takes some digesting, but my initial reaction is that it will be a positive influence upon the development of university libraries in the United Kingdom. Responses to the report are being prepared by individual university institutions, so it is difficult to summarise the feelings of the U.K. library community as a whole. Informal surroundings certainly suggest, however, that this is a good opportunity for U.K. academic libraries.

Sir Brian has achieved a result which recognises the various interests he listened to — say the interests of teaching and research, or of the old and new universities — and yet the recommendations can benefit the system as a whole. We have now to wait and see whether the promise in the report comes to fruition, both at a national and a local level. We have to hope that funding bodies and individual universities will respond positively to the recommendations. Amongst the library community there will certainly be a wish to ensure that the Follett Report will be remembered as a milestone in U.K. academic library development.

Joint Funding Councils' Libraries Review Group: Report. December 1993. Obtainable from External Relations Department, HEFCE, Northavon House, Coldharbour Lane, Bristol BS6 1QD, England. Telephone: +44 272 317436; facsimile: +44 272 317463. ■

U.K. WORKING PAPERS ON INFORMATION TECHNOLOGY

As part of the review of academic libraries undertaken by the Higher Education Funding Councils of England, Scotland, and Wales, and the Department of Education for Northern Ireland (see report by Fred Friend on previous page), an Information Technology (IT) Sub-committee was formed. The Subcommittee, Chaired by Lynne Brindley, Librarian and Director of Information Services of the British Library of Political and Economic Science at the London School of Economics, was asked to address how developments in IT might be harnessed to underpin change across the whole academic library sector.

The group decided "to focus pragmatically to determine what problems IT might assist in solving, what initiatives might be encouraged, and what actions might be taken in the next three to five years to facilitate useful developments of benefit to library users in higher education, pushing boundaries forward in a nationally cost effective way." Expert advice was sought that resulted in a series of working papers, recently assembled and published as *Libraries and IT: Working Papers of the Information Technology Sub-committee of the HEFCs' Libraries Review.*

The 300-plus page report is available from UKOLN: The Office for Library and Information Networking, The Library, University of Bath, Bath BA2 7AY, UK (telephone: +44 225 826580; facsimile: +44 225 826229). The price is £20 in the U.K. and Europe, £25 in all other areas. ■

CAUSE OFFERS CAMPUS NETWORKING BOOK

Best Practices in Campus Networking is a new compilation available from CAUSE. The 248-page document includes 25 proposals received from colleges and universities for the 1993 CAUSE Award for Excellence in Campus Networking.

Best Practices includes descriptions of the networks at award-winning Maricopa Community Colleges and honorable mention winners Brown University, Cedarville College, Gettysburg College, Massachusetts Institute of Technology, The Pennsylvania State University, and Stevens Institute of Technology.

Best Practices in Campus Networking is available through CAUSE for $45 for association members, $60 for non-members. To order, contact CAUSE, 4840 Pearl E. Circle, Suite 302E, Boulder, CO 80301; phone (303) 449-4430; fax (303) 440-0461; e-mail: orders@CAUSE.colorado.edu. ■

ANTICIPATING IFLA IN HAVANA

In August 1994 the International Federation of Library Associations General Conference will convene in Havana, Cuba. In his capacity as president of IFLA, Robert Wedgeworth, University Librarian at the University of Illinois at Urbana, spent several days last May visiting the city. The following is excerpted, with permission of the author, from Friendscript Newsletter, *published by the University of Illinois.*

The visit laid to rest any questions IFLA may have had about the quality of services available in Havana in light of the ongoing U.S. embargo on trade with Cuba and the withdrawal of financial support from the former Soviet Union. What was found, reported Mr. Wedgeworth, was two Cuban worlds — the world of the tourist and the world of the Cubans.

"Since the tourist industry is the major way for Cuba to earn its foreign exchange," explains Mr. Wedgeworth, "most of the resources go to attracting and serving tourists. That means food is rationed in Cuba, gasoline is rationed in Cuba, for these things go first to tourists, who are able to pay for them. The funds earned then go to assist the general Cuban economy."

For the average Cuban, he says, the ration means one roll per day, because bread is scarce, and milk is available only to children under the age of seven. "So it was with mixed feelings that we would meet all day with our Cuban colleagues reviewing arrangements for the meetings and social events, and then go back to our hotels in the evening for a large meal, when we knew our colleagues has little or no food to go home to."

In his conversations with people from all walks of life, Mr. Wedgeworth found few Cubans blamed their own government for the economic hardships. "They blame the U.S. embargo for starving them and question whether the United States is willing to consider any resolution which will not involve the total surrender of their autonomy," he said. During his visit, he also toured several libraries, including the Havana Public Library and the library at the University of Havana.

"The libraries are limited in the number of new books they have available, especially foreign books, but the librarians are well trained, well educated, and continue to perform very well," he reports. "The university library lacks research materials, but it continues to provide reference and other services as it can. There is, of course, limited access to new information technologies, but they are managing to get some microcomputers and supplies for technical services. And they have access to Internet via Canada." ■

TRAVEL ADVISORY FOR CUBA

The American Library Association has prepared a Travel Advisory for IFLA's Annual Conference to be held August 21-27 in Havana, Cuba. Contact Robert Doyle, ALA, 50 East Huron Street, Chicago, Illinois 60611-2795, (800) 545-2433. ■

COALITION FOR NETWORKED INFORMATION

Paul Evan Peters, Executive Director

VIRTUAL ESTATE IN CYBERSPACE: THE MANY FACES OF NETWORKED INTELLECTUAL PROPERTY

No subject is the source of more fear, uncertainty, and dread in the networked information community than is the subject of copyright or, more generally, the subject of intellectual property. Creators of intellectual property worry that networks are too leaky for their property to be secure from corruption and misappropriation. Users of intellectual property worry that networks are too rigid and expensive for property to be available and affordable in all of the ways and for all of the purposes they have in mind. And, developers of networked information resources and services are frustrated by the complex and unresponsive character of the existing intellectual property permissions system. There must be a better way to build an information superhighway!

The early evolution of the Internet information environment has been driven by a "circle of gifts" intellectual property system. As a general rule, creators of Internet intellectual property (software, documents, etc.) make that property freely and anonymously available to any and all interested parties. In return, they expect that property of use to them will be available equally freely and anonymously. Information circulates in this system in much the same way it does around an office or along a research front. Formal, predominantly "commercial," scholarly and scientific communication and publication processes operate by quite different principles. They are more concerned about control and compensation than comparable Internet, "non-commercial" processes have been to date.

The future Internet and the emerging National Information Infrastructure (NII) must support both of these models of knowledge creation, distribution, and utilization. The Internet community must come to recognize and respect the interests of commercially minded providers of information, and those providers must understand and appreciate that non-commercial approaches will continue to be an important feature of the Internet and NII information environments. Commercial and non-commercial providers of networked information, however, assess the opportunities and challenges of the networked environment quite differently. For instance, commercial providers tend to view the reduced costs of the network environment as an opportunity to increase profits, whereas non-commercial providers tend to view them as an opportunity to lower prices. And, non-commercial providers tend to view the increased ease by which information can be redistributed in the network environment as an opportunity to promote awareness and use, whereas commercial users tend to view it as a threat to existing or potential revenues. Builders of information highways must be responsive to the different interests and concerns of both types of providers.

Non-commercial and commercial providers of networked information have a common interest in improving ways and means for managing networked intellectual property. Making it easier for network users to discover, organize, and access the information that they need is in everyone's interest, as are effective ways to authenticate the identity of users seeking access to intellectual property, to account and perhaps to bill for their use, and to protect the security and integrity of networked information resources and services. Providers of such resources and services, however, must have the option to use or not to use these sorts of intellectual property management capabilities. Builders of information highways must implement these capabilities as services available to networked information providers rather than as features of the network information infrastructure itself that *must* be used by all providers.

Implementing intellectual property management capabilities as services on rather than as a feature of the network infrastructure not only places their use at the discretion of information providers, it creates a competitive marketplace for provision of such capabilities. Relying upon such a marketplace to provide capabilities of this sort is a much more comforting prospect than relying upon, for example, a telecommunications monopoly or a government-mandated standardization process to provide them.

The unique characteristics of *networked* intellectual property have barely begun to reveal themselves. It is already an open question, however, whether copyrights or patents are the more appropriate vehicle for registering and protecting one's ownership of a particular parcel of intellectual property. Certainly the distinction between software and information as well as the distinction between an idea and an expression of an idea have begun to blur in network environments, and both of these distinctions are fundamental to existing ways of thinking about intellectual property. The attribution of ownership to intellectual property is confounded, moreover, by the highly collaborative manner in which networked information is generated, refined, and distributed. Builders of information highways, as well as non-commercial and commercial providers of networked information, must be flexible and agile if they are going to keep up with the creative behaviors of network users. ■

OFFICE OF SCIENTIFIC AND ACADEMIC PUBLISHING

Ann Okerson, Director

CICNET PROJECT BUILDS ELECTRONIC JOURNAL COLLECTION

by Gene Wiemers, Assistant University Librarian, Northwestern University, and Chair, Task Force on the CIC Electronic Collection, and John Hankins, Deputy Director, CICNet, Inc.

The CICNet electronic journal project began as a solution to a problem. The Ohio State University Libraries had built a small electronic journal collection, and was looking at options for archival storage. One option was to rely on publishers. When a publisher informed the library that back issues were not available, it became clear that libraries might have to provide permanent storage for e-journals just as they do for print.

Why should each library take responsibility for providing permanent storage of e-journal files? The logic of shared responsibility for this archival function was compelling, since any library could, in principal, gain access to a single definitive file. The Committee on Institutional Cooperation (CIC) had served as an arena for a variety of successful cooperative collection development and preservation projects, so Gay Dannelly, Collection Development Officer at Ohio State, proposed that the CIC collection development officers develop a cooperative archival project.

CICNet's interest in the project focused on three areas. First, CICNet was interested in developing successful archival storage and easy access to e-journals by end users. Second, there was little agreement on what constituted an electronic journal and what networked applications would be best suited to support a collection, so investigation of collection methodology was needed. Third, CICNet was interested in building a window to the world of electronic journals and electronic publishing.

CICNet began collecting titles early in 1992. Though the original proposal called for CICNet to provide archival services for files collected by member libraries, the emerging Gopher technology drastically simplified access. Gopher made it possible to build a centralized collection using the same access tool individual libraries were using. This merged the archiving and the collecting function. The CICNet "archives" thus provided an experiment in both the theoretical and practical aspects of a cooperative electronic collection. A collection that included an array of scholarly journals, "zines," and newsletters, would support both the use of known titles and the exploration of a broad slice of the emerging Internet culture. By November of 1992, CICNet consultant Billy Barron had assembled a collection of 70 journal titles, and by the summer of 1993, the collection had grown to almost 600 titles and was accessed by users worldwide at the average rate of six to eight times per minute.

Initially, CICNet tried to collect anything that fit a loose definition of an e-journal. This involved manual retrieval of files including ftp and e-mail. As the collection grew, it became apparent that manual processing methods would not scale to the size required. CICNet limited its collection processes to titles available by ftp, and adopted the Internet tool "Mirror" to automatically check specific ftp sites for new issues. CICNet now runs more than 500 ftp Mirror jobs to build the collection.

This process has both technical and collection development limits. On the technical side, maintenance of the site location database is problematic. Any time a directory name is changed or an ftp source is moved, the Mirror script breaks. The volume of the project also pushes the ftp Mirror software beyond its intended limits. To deal with these problems, CICNet is developing tools to support the required volume, and is enlisting volunteers so a single person is not responsible for monitoring all ftp locations. Since many scholarly e-journals are published only in Bitnet LISTSERV format, CICNet is also exploring automated collecting methods so the limitation to ftp sites can be relaxed.

To address the inevitable collection development limits and define the content of the collection, CICNet recognized that a professional librarian's collection development and management perspective was needed. The CIC Library Directors appointed the Task Force on the CIC Electronic Collection in March 1993 to provide this perspective and explore other avenues for cooperation in electronic collections. The Task Force recommended a collection development policy, a methodology to select titles for active collection management and full cataloging, and a mechanism to share cataloging responsibilities among CIC libraries.

CIC librarians and CICNet are now implementing these recommendations. The goal is a working electronic library accessible to all CIC users. The CIC Libraries Electronic Journal Collection will include full and authoritative files of the titles selected, and these titles will receive full cataloging and priority treatment for correcting acquisition procedures. This collection will provide a large collection in a flexible access structure so CIC libraries can explore the possibilities of shared cataloging and access.

Paul Southworth at CICNet (pauls@cic.net) now manages the server. CICNet has developed internships based on this collection with the library schools at the University of Illinois and the University of Michigan. A management committee of CIC librarians is also being formed. The collection is currently limited to freely available titles, but when the collection expands to include subscription titles, CICNet will need to develop user authentication techniques to assure that those titles are only available to authorized users. In the meantime, the CICNet electronic journal server provides the largest and most varied single site for exploration of the electronic journal format. ■

Note: The Committee on Institutional Cooperation (CIC) is an academic consortium of major research universities with headquarters in Champaign, Illinois. The following libraries participate in CIC cooperative activities: the University of

Chicago, the University of Illinois at Chicago, the University of Illinois at Urbana, Indiana University, the University of Iowa, the University of Michigan, Michigan State University, the University of Minnesota, Northwestern University, the Ohio State University, Pennsylvania State University, Purdue University, and the University of Wisconsin–Madison.

Founded by the CIC in 1988, CICNet, Inc. is a regional TCP/IP network providing Internet access to over 250 institutions and organizations in the Midwest. CICNet, whose offices are in Ann Arbor, Michigan, is supported in part by the NSF.

Further information on the CICNet electronic journal project, including the first report of the Task Force on the CIC Electronic Collection, is available on the CICNet Gopher, or by contacting the authors: e-wiemers@nwu.edu or hankins@cic.net.

Dru Mogge Named Electronic Services Coordinator with OSAP Emphasis

Dru W. Mogge has been named as the first Electronic Services Coordinator for the Association of Research Libraries (ARL). In the newly created position, she will provide an array of technology support services for the Association with a particular emphasis on the activities and publications of the ARL Office of Academic and Scientific Publishing. From her start date of January 10th, Mogge has begun working with staff at the Association headquarters in Washington, DC, to develop and support electronic information services and resources, particularly on the Internet. In addition, she will begin to develop, create and support electronic publications for ARL's customer base. Plans are also underway for the creation of an electronic publishing resource of files, software, and examples of successful e-publishing on the Internet.

Dru Mogge
ARL Electronic Services Coordinator

Her contributions for ARL already include co-editing of the proceedings of the Third Symposium on Scholarly Publishing (see below) and a newly developed Gopher service for the Association.

Dru Mogge returns to the Washington, DC, area after a three-year sojourn in California, where she worked for the Office of the Chancellor at the University of California, Riverside. As administrative records coordinator, she was responsible for records management for the campus. She recently completed work on a Master of Library and Information Studies from the University of California, Berkeley. ■

Third Symposium Proceedings Published

ARL announces the publication of *Scholarly Publishing on the Electronic Networks: Proceedings of the Third Symposium.* The November 1993 meeting and the proceedings were co-sponsored by OSAP and the Association of American University Presses, in collaboration with the National Science Foundation and the University of Virginia Library, which offered "A Day in the Electronic Village" as a post-symposium excursion.

The first symposium on scholarly publishing on the electronic networks was held in the spring of 1992. One publisher commented that the experience was "like being a deer caught in the headlights of an onrushing truck." But by the start of the second symposium eight months later, participants had survived the shock of the new. And by the third, they came forward with well-formed experiments, prototype projects, and questions about the ways and means of making the new technology serve the demands of the scholarly and scientific community.

The objective of the symposia has been to promote information sharing and discussion among people interested in developing the potential of formal scholarly electronic publishing, with particular emphasis on not-for-profit models.

Presentations ranged from sweeping views of the tantalizing and enduring concept of the "virtual library" through the centuries — the library that is simultaneously everywhere and nowhere — all the way to very pragmatic discussions about what it takes to make electronic text that can be used in the current network environment. Common economic concerns that arose in the very first symposium persist as many of the presentations include questions about cost recovery and intellectual property laws in a new and evolving technological environment.

Scholarly Publishing on the Electronic Networks was compiled and edited by Ann Okerson, Director of ARL's Office of Scientific and Academic Publishing (OSAP), and Dru Mogge, ARL Electronic Services Coordinator. The report contains the text of 18 presentations and 9 project reports.

Scholarly Publishing on the Electronic Networks: Proceedings of the Third Symposium is available from OSAP Publications for $20 plus postage and handling. The proceedings volume from the second symposium (published in March 1993) is also available for $20 plus postage and handling. Send information requests and prepaid orders to ARL/OSAP, Publications Department, Dept. #0692, Washington, DC 20073-0692 (e-mail: osap@cni.org). ■

FEDERAL RELATIONS

Prudence S. Adler, Assistant Executive Director-Federal Relations and Information Policy

NTIS ALIGNS WITH DEPOSITORY LIBRARIES; OFFERS FULL TEXT ACCESS

by Jim Gillispie, Head of Government Publications, Maps, Law Department, Johns Hopkins University Library

Author's note: The National Technical Information Service (NTIS) is an agency of the U.S. Department of Commerce and serves as a major archive and clearinghouse for technical reports and data generated through federally funded research. NTIS is a self-supporting agency that derives its operating revenue from the sale of information products.

On January 3, final regulations on the "Transfer by Federal Agencies of Scientific, Technical and Engineering Information to the National Technical Information Service" appeared in the *Federal Register* [Volume 59, No. 1, p. 6]. These regulations create new programs that support scholarly research; promote the archiving of scientific, technical, and engineering information (STEI); and initiate electronic access to NTIS collections for depository libraries.

NTIS developed these new regulations in response to the 1993 American Technology Preeminence Act (P.L. 102-245). Section 108 of the new law requires all federal agencies to submit to NTIS scientific, technical, and engineering information resulting from unclassified federally funded research. Draft regulations issued in May 1993 described the procedures that agencies and their contractors should follow in transferring STEI products to NTIS. These draft regulations, which were open for public comment, received much attention from the library community. Library reaction focused on the lack of reference to and coordination with the depository library program, which under current law is charged to provide government information to nearly 1,400 academic, public, law, and federal agency libraries.

The final regulations respond to the initial library concerns and identified additional initiatives to improve depository library access to NTIS databases and STEI. Although designed to strengthen the role of the NTIS in acquiring materials for its archive, it remains unclear how much "new" information will be added to the clearinghouse as a result of these regulations and, more importantly, what will remain "outside" due to the exceptions the regulations permit. These regulations illustrate the difficulties of inter-agency cooperation and how such cooperation is vitally important to assure organized access and dissemination of government information.

New Programs

"NTIS will, as soon as possible . . . provide depository libraries, at no charge, online access to a current list of all final STEI products ... "

NTIS staff indicate that this "current list" is actually a snapshot of the latest entries into the NTIS bibliographic database (from the past 30-90 days). Although academic researchers need access to the entire database, NTIS is cautious about the effect that providing depository libraries with full database access could have on NTIS revenue derived from the sale of the databases to private vendors and CD-ROM publishers. The regulations do not preclude no-fee access to the entire database, and NTIS has indicated that if further study suggests that use of the database in depository libraries might generate increased orders, access to the entire database will be considered.

"NTIS will establish as soon as practical, a system of full-text online access to final STEI products for depository libraries at no charge to them."

Full-text access to the wide range of new STEI products archived at the NTIS will provide significant benefits to research libraries. No longer will libraries need to have on hand every contractor report prepared for a government agency as they will have the means to electronically copy and download NTIS reports and data on demand. With this project, NTIS might become the STEI equivalent to WestLaw or Lexis/Nexis.

In regard to the transfer of STEI to NTIS: *"In the case of a product not printed by the Government Printing Office, [such products must] be accompanied by a statement as to whether the product has been made available for depository distribution by the Government Printing Office."*

The regulations commit NTIS to alert agencies to their responsibility to provide material to the Superintendent of Documents for the depository library program. As it is less likely that an agency, when reminded, will ignore its statutory responsibility, then these regulations initiate an important level of agency accountability that should bring additional materials into the depository library program.

Areas of Concern for Libraries

Scope: Several loopholes appear in the regulations that exempt agencies from the transfer of some STEI products to the NTIS. An agency is not required to transfer information if the agency plans to sell the product on a cost recovery basis, if the information is to be submitted to a privately published journal for publication, or if the product includes information that is protected by copyright. With these exemptions much federally funded research will remain outside the collecting scope of NTIS.

Coordination with GPO: Although NTIS offers to work with agencies to supply materials directly to the depository libraries, it remains silent on how this activity will be coordinated with the depository library program managers at the Government Printing Office. NTIS has no statutory authority to provide materials to the depository library program. It remains essential for NTIS to develop collaborative distribution arrangements with the GPO.

Restrictions: Proposed online access to the "current list" is limited to depository libraries and their staff and is not to be made available directly to library readers. Access to online full-text products are to be made "available only to the community served by the library." Although NTIS staff recognize the geographically broad community many depository libraries serve, they do not consider that community to be limitless particularly in regard to users accessing the library electronically from outside the United States. Limitations such as NTIS defines in the regulations are in direct conflict with laws governing the depository program.

What needs to be done

NTIS needs to rethink those portions of the regulations that limit who may have access to the online "current list" of products. Libraries should further encourage the NTIS to open up the entire database for no-fee depository library access. Furthermore, NTIS and the depository program need to reach a common understanding as to what constitutes the community served by the depository library and remove ambiguous language that implies restrictions.

Inter-agency agreements between NTIS and the Government Printing Office are the next step to implementing many portions of the regulations. Without those agreements, NTIS's involvement with depository libraries is unlikely to succeed.

Finally, the biggest unknown is just how much new information will make its way into the NTIS program. Agencies need to pursue tighter reporting requirements for federally sponsored research, and NTIS needs to strengthen these regulations to increase the flow of STEI to the NTIS. ■

NTIS BUDGET INCLUDES $6 MILLION FOR DEPOSITORY LIBRARY GRANTS

President Clinton, in his FY 1995 budget proposal, includes for the National Technical Information Service (NTIS) a one-time $18-million pool of investment capital to support mechanisms for the electronic dissemination of government information. Twelve million dollars will be used by NTIS to underwrite its equipment investment to accommodate new information products and to enhance FedWorld, an electronic gateway to federal agency information. NTIS Director Don Johnson reported at the ALA midwinter meeting that $6 million is earmarked for grants to depository libraries for hardware, software, and training that will support "connections" to the network and improve public access to government information. Although details for awarding the depository library grants have not been prepared, Johnson envisions awarding grants through a competitive process to be developed in consultation with the Depository Library Council and the Superintendent of Documents. ■

NO FUNDS FOR HEA, LSCA LIBRARY PROGRAMS

Despite the emphasis on libraries in other parts of the Clinton-Gore agenda, the Department of Education eliminates library programs in the FY 1995 budget request. No funds were allocated to any HEA Title II programs as well as Title VI, section 607, and several LSCA Titles — Public Library Construction, Foreign Language Material, and Literacy Programs.

As with past years, a disproportionate number of library programs are not funded compared to other parts of the Department's request. Of all the Department of Education programs slated for elimination, almost one-fourth are library programs. This does not match other aspects of the Clinton-Gore Administration agenda such as connecting every library, school, hospital, and clinic to the information infrastructure by the year 2000; and the funding for "connections" for depository libraries included in the NTIS budget request. ■

UPDATES

Privacy and the NII: On January 26, Dr. Susan K. Martin, Georgetown University Librarian, representing ARL and CNI, participated in a panel focusing on privacy issues in the NII. The meeting was organized by the Information Infrastructure Task Force Privacy Working Group.

LC, GPO Budget Hearings: House Legislative Branch Appropriations hearings were held on February 8. Testifying on behalf of ARL and the American Library Association, in support of the Library of Congress and the Government Printing Office FY1995 budget requests was Kate Mawdsley, Assistant University Librarian, University of California–Davis. LC is requesting $358 million, an increase of 7.9% over FY1994. GPO is requesting $33.9 million for the Superintendent of Documents (Salaries and Expenses), which includes the depository library program. This is an increase of 12.5% over last year's budget.

NEH Emergency Fund: On February 11, the National Endowment for the Humanities announced that it would extend its emergency fund to include libraries, archives, and museums damaged by the recent earthquake in California. The emergency fund was established last summer to assist institutions in the Midwest that suffered flood damage.

"We can rebuild the bridges and the buildings, but it would be nearly insurmountable to reclaim the knowledge we'd lose if these imperiled collections are left unprotected. These institutions contribute history's voice to our national conversation," said agency Chairman Sheldon Hackney.

The agency will accept proposals until July 31 to preserve collections of books, archival materials, manuscripts, and objects of material culture. ■

OFFICE OF MANAGEMENT SERVICES

Susan Jurow, Director

ALLOCATION OF STUDENT TECHNOLOGY FEES IN ARL LIBRARIES

Two years ago, The University of Iowa Libraries established a student computing fee for undergraduate and graduate students of $40 for full-time students and $20-30 for part-time students. University departments including the University Libraries can apply for these funds on a yearly basis. During the fall of 1993, a brief survey was posted by The University of Iowa Libraries, asking if other ARL libraries had a separate library fee (beyond tuition) or shared income from a computing fee charged to each student.

Barbara I. Dewey, Director, Administrative and Access Services, University of Iowa Libraries, reports that, of the 15 responses received, three reported receiving a portion of a campus-wide computing/networking fee. The total income received by the libraries ranged from $100,000 – $500,000. Two directors reported instituting a library-specific fee of $1.50 per credit hour, generating a total income of over $600,000 per year. One library reported receiving a yearly allocation of $150,000 to $250,000 from student government. Nine libraries indicated that they had no fee.

The ARL Office of Management Services conducted a SPEC survey on the related topic of allocation of student technology fees in ARL libraries in the summer of 1993. The survey responses will be published in an OMS Occasional Paper written by Elizabeth E. Baker, Assistant to the Director, Indiana University Library. Ms. Baker has prepared the following summary of the preliminary results of the SPEC survey.
–C. Brigid Welch

To determine the prevalence of student computing fees at universities and whether libraries receive a portion of the revenues from those fees, a SPEC survey was sent to the 108 university members of ARL. Of the 108, 72 surveys were returned, for a 67% response rate. Of the 72 surveys returned, 20 (27%) reported a student technology fee; 51 (73%) did not have a fee. The name of the fee varied widely among institutions.[1] Few institutions used the same name for their fee. Two institutions did name their fee "student computing fee"; two others named their fee "student computer fee."

Existence of the fee does not appear to relate directly to the size of student enrollment. Academic institutions with smaller student enrollments were as likely to charge students a fee as were their larger counterparts. At a vast majority of institutions, all students, undergraduate and graduate, full- and part-time were charged the fee. One institution charged only those students taking courses that required a computer account. At another, only students majoring in the scientific disciplines were charged a computing fee.

Charging students a fee to finance computer resources seems a relatively recent development. Most institutions established the fee within the last three years, with the majority beginning in 1990. Three institutions established their fee in 1993. One institution has charged students a fee since 1985.

Fee Levels and Revenue Generated

Amounts charged varied widely among institutions, as did the way in which the fees were assessed. Most institutions billed students each semester. Per semester fees ranged from $6 to $110 per semester. Prices at institutions charging per credit hour varied less, ranging from $1.50 to $4.50 per credit hour. Only one institution charged a different fee for part-time and full-time students. Of those institutions reporting a total revenue, the amount of total revenue from the fee ranged from $75,000 to $7 million.

A possible reflection of the recency of computer fees is the fact that half of the institutions have not raised the amount charged. Institutions that established the fees in the 1980s tended to raise the fee amount by as much as 50 percent over the period.

Projects Funded and Allocation Process

Projects funded with fee revenue tended to directly benefit students, such as establishing and staffing student computer clusters and upgrading equipment in the clusters. Some institutions specifically earmarked the money to build computer clusters in student dormitories and provide computer literacy courses.

The process for allocating revenue from the fee was similar across institutions. Most often a university committee of administrators, students, and faculty members reviewed proposals submitted from academic departments. Very few institutions indicated that librarians serve as members of the committee. At some institutions, a committee consisting solely of computer center personnel allocates the fee. In general, the committee allocating the fee makes policy decisions regarding the fee. Computing center units most often receive revenue from the computer fee, followed by academic departments, then libraries. Very few libraries automatically receive a specific percentage of the revenue from the fee, but must submit proposals as do other campus units. Not surprisingly, when libraries do receive a designated percentage of fee revenue, the monies must fund projects that increase student access to computerized information, such as providing access to more databases; building computer clusters in the library; and acquiring multi-media resources and purchasing computer equipment for persons with disabilities.

Although only 27% of the institutions surveyed have a computer fee, some respondents indicated that they are planning to establish a fee or are currently researching how to establish such a fee.

For libraries to provide a vital link in the initiative to integrate computerization more fully into university curricula, libraries must share policy making and allocation decisions relating to fee revenues, as well as receive portions of fee revenues comparable to other academic units. ■

DIVERSITY TRAINING OFFERED

Kriza Jennings, OMS Diversity Consultant, will lead two diversity programs in Washington, DC, this spring. "Fostering a Climate in the Workplace for Diversity" will be offered at the Library of Congress on April 12 and 13, and "Assessment and Design of Library Services for a Multicultural Population" will be offered at the Smithsonian Institution on May 10-11.

When developing and implementing diversity and/or minority recruitment activities, a work environment that values and welcomes differences is needed. In "Fostering a Climate in the Workplace for Diversity," a two-day seminar, Ms. Jennings will define the qualities of such a workplace and explore strategies for fostering a climate responsive to diversity and human differences.

As a result of changing demographics, libraries find their user populations expanding and changing. Ms. Jennings will discuss methods for seeking and identifying new populations, assessing their information needs, and developing programs, services, and collections to meet those needs in "Assessment and Design of Library Services for a Multicultural Population," another two-day seminar. Strategies for preparing personnel to serve a multicultural population will be offered.

Each seminar is priced at $250 for ARL members and $260 for nonmembers. For groups of four or more, a 15% discount applies. To register and for information, contact OMS at 202/296-8656. ■

NEW WORKSHOPS ON CONTINUOUS IMPROVEMENT, RESOURCE SHARING

In response to member needs, two new workshops were offered for the first time in Fall 1993: *Implementing Continuous Improvement Programs in Libraries* and *Planning for Resource Sharing*.

Implementing Continuous Improvement is an intensive three-and-a-half day workshop designed to get participants started on the process of planning, implementing, and evaluating quality improvement processes in libraries. Maureen Sullivan and George Soete developed the content, which includes an overview of quality improvement concepts, the challenges to leadership presented by continuous improvement, the centrality of the customer in the service enterprise, practice with several planning and analytical tools, selection of process review projects, organizational readiness, and team process.

Most participants rated the experience very positively. One commented, "Practicing the tools ... made the whole thing much more meaningful than a strictly conceptual approach." Many valued the opportunity to work on realistic case studies with skilled and motivated colleagues. Several comments indicated a high degree of anticipated applicability in the work place.

Implementing Continuous Improvement will be offered again in Washington, DC, June 6-9, and in Boston, October 25-28.

Planning for Resource Sharing is a two-day workshop designed by George Soete and Jack Siggins. The pilot offering was for selected staff from the 14 libraries of the Boston Library Consortium, which has embarked on a planning process with Soete and Siggins as consultants. The approach is collections-centered, but all aspects of service in a resource-sharing setting are explored. Participants got a chance to develop collaborative projects, explore issues around trust, examine benefits and drawbacks of resource sharing, and identify strategies for interpreting resource sharing to key stakeholders such as staff and faculty.

Since the workshop was done for participants within an actual consortium, attendees found a great deal of value in the development of ideas that might be pursued by member libraries. For many, the event was an opportunity to get to know colleagues with whom they will be implementing collaborative projects.

A public offering of the workshop is scheduled for May 4-5 in Washington, DC. Consortia who are interested in sponsoring the workshop for their members or individuals interested in attending either of these workshops should contact OMS at 202/296-8656. ■

—George J. Soete, Adjunct Trainer and Consultant

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[1] Names of computing fees at ARL institutions include: student computer access program, computer and networks fee, engineering computing fee, computer account fee, student technology fee, computer access fee, computer and technology fee, student computing fee, information technology fee, committee for laboratory instructional fees and funding (CLIFF) fee, technology fee, general student fee, instructional computing fee, library automation fee, student computer fee, computer use/microcomputers, and computer use fee.

ARL ACTIVITIES

G. Jaia Barrett, Deputy Executive Director

GRANTS

The following grants have been awarded.

U.S. Department of Education/HEA II-C

University of California, Berkeley: To catalogue and preserve manuscript and pictorial materials of C. Hart Merriam, founder of the U.S. Bureau of Biological Survey and co-founder of the National Geographic Society.

University of California, Los Angeles: To create and make available worldwide the full cataloguing records for a collection of rare children's literature, the bulk of which was published prior to 1840.

Center for Research Libraries: To provide machine-readable records for monographs on the sciences and technology published from 1966 to 1991 by the Russian Academy of Sciences.

University of Chicago: To organize, preserve, describe, and catalogue an interrelated group of manuscript collections in the social sciences, social welfare and reform, public policy, and international development, while widely disseminating information about the collections through descriptive finding aids and national databases.

Columbia University: To provide machine-readable records for unique architectural graphic and archival materials as well as appropriate preservation treatment for the archival materials and for drawings that are in fragile condition; to provide machine-readable records for 50 electronic text sets that are holdings of the Electronic Text Service of the Columbia University Libraries, providing analytics for the sets, which will be available through OCLC's Major Microforms Program.

Duke University: To provide bibliographic control of the Guido Mazzoni collection consisting of Italian and French theatrical works, ballets, librettos, World War II fascist propaganda, and one of the largest extant collections of works published on the occasion of a marriage, with access provided through collection-level USMARC records; to convert more than 112,000 records to machine-readable form of Confederate imprints, materials on Walt Whitman, Northern abolitionist serials, southern Civil War serials, and extensive serial publications of the Methodist Church.

University of Florida: To enter records describing the Belknap Collection for the Performing Arts, consisting of photographs, song sheets and folios, costume and set designs, playbills, memoirs, and scrapbooks, into OCLC, RLIN, and OPAC databases.

Harvard University: To provide wide accessibility to 347,177 machine-readable records representing the collections of Widener and Houghton Libraries, research collections in the humanities; to provide improved bibliographic access to research resources in the areas of illustrated books and printing history, European history and literature, science, and popular literature in the Houghton Library by converting 40,000 manual accessions records for printed materials into machine-readable catalog records.

Iowa State University: To provide preservation of and access to the films in the American Archives of the Factual Film, which include business, industrial, educational, technical, documentary, and other types of nontheatrical films, adding records to OCLC and the National Moving Image Database (NAMID).

University of Kansas: To provide national access to the Imperial Russian collection of social history, encompassing books on history, literature, philosophy, geography, government, and religion.

University of Minnesota: To provide international online bibliographic access to the rare books, manuscripts, and tracts in the Ames Library of South Asia and to write and disseminate a brochure describing the Ames Library collections, services, and policies.

University of Missouri: To create machine-readable records and provide preservation for nineteenth-century imprints held in the University's rare book collection.

New York Public: To process and enter collection-level records into a national database from the Luening Collection, consisting of manuscript scores and correspondence, as well as the family, academic, and business papers of flutist, composer, educator, and administrator Otto Luening and to create a computerized archival finding aid.

University of North Carolina: To catalogue records of the A.P. Watt and Company literary agency (1875-1965) and the J.M. Dent and Sons, publishers (1897-1970), making accessible significant manuscript, illustrative, and printed collections documenting British publishing from the late eighteenth century to the 1970s.

Ohio State University: To provide online bibliographic access to the fifteenth- through twentieth-century plays and festival books on microform in the library of the Jerome Lawrence and Robert E. Lee Theatre Research Institute.

University of Oklahoma: To catalogue and disseminate holdings from the eighteenth, nineteenth, and twentieth centuries in the History of Science Collections.

Princeton University: To catalog and disseminate records from nearly 2,000 Arabic, Persian, and Turkish manuscript texts in the Department of Rare Books and Special Collections through RLIN, AMC national online database, and a printed catalog.

Rutgers University: To organize, preserve, catalogue, and enter records from the archives and related materials of Consumers' Research, Inc., 1927–1980, into RLIN and OCLC.

University of Texas: To arrange, catalogue, and provide national database access for Mexican archival collections from the holdings of the Benson Latin American Collection.

Wayne State University: To add records of the manuscript collections and oral history holdings of the Archives of Labor and Urban Affairs to OCLC, offering them to RLIN and WLN.

Yale University: With Howard and Indiana Universities, to conduct a retrospective conversion of manual bibliographic records for printed books and for music on microform.

National Endowment for the Humanities

Cornell University: To test the feasibility of producing digitized pages and microfilm from 10,000 volumes that will meet national preservation standards for quality and image permanence.

Harvard University: To catalogue and preserve 5,015 drawings that represent 123 architectural projects and 48 photograph albums in the archival collections of Henry Hobson Richardson.

Hunter College/CUNY Research Foundation: In cooperation with Stanford, to arrange and describe records of the Mexican American Legal Defense and Educational Fund and the Puerto Rican Legal Defense and Education Fund.

University of Nebraska–Lincoln: To catalogue 4,700 newspaper titles as part of Nebraska's participation in the United States Newspaper Program.

New York Public: To arrange, describe, catalogue, and preserve primary resources held in seven repositories that document the history of dance, entering 5,000 records into the national bibliographic utilities.

SUNY–Albany: To microfilm surveyors' field books and color maps and reformat glass-plate and nitrate negatives that document the exploration, mapping, and land resources of New York State.

New York University: To arrange, describe, and microfilm the archives of Greenwich House, a pioneering settlement house in New York City.

University of Tennessee–Knoxville: To plan implementation of the United States Newspaper Program in Tennessee.

Yale University: To produce information about the organizational, financial, and technical issues involved in applying digital imagery in the preservation arena; to microfilm 3,900 volumes on the impact of rail transportation on western development and nineteenth-century travelers' accounts of life in the American West. ■

GUILMETTE SERVES AS VISITING PROGRAM OFFICER

Pierre Guilmette, subject bibliographer in political science and economics at the Université Laval Library in Québec, now serves as an ARL Visiting Program Officer. From February through July 1994, Mr. Guilmette will prepare an assessment of French language collections in the field of political science. Université Laval is supporting Mr. Guilmette's leave of absence.

Mr. Guilmette is the author of two books: *Bibliographie de la danse theatrale au Canada* (1970) and *Dance Resources in Canadian Libraries* (1982), both published by the National Library of Canada.

Mr. Guilmette chaired the Corporation of Professional Librarians of Québec, 1973-1975, and is currently a member of the Canadian Political Science Association, in addition to library associations. ■

TRANSITIONS

Library of Congress: Daniel P. Mulhollan, formerly Deputy Librarian of Congress, has been appointed Director of Congressional Research Service, LC.

National Agricultural Library: Pamela Q.J. Andre has been appointed acting director, replacing Joseph H. Howard, who retired February 3.

American Library Association, Washington Office: Carol Henderson has been appointed director, succeeding Eileen Cooke, who retired December 31.

ARL: Kriza Jennings now serves as Program Officer for Diversity and Minority Recruitment, reflecting her additional responsibilities for the newly established ARL Program on Minority Recruitment, in addition to her ongoing diversity role in OMS; Dru Mogge has been appointed Electronic Services Coordinator; C. Brigid Welch has resigned as OMS Senior Program Officer for Information Services and ARL Director of Information Services.

Appointments

CANARIE, Inc.: John Black, Chief Librarian at the University of Guelph, has been appointed to the Board of Directors of The Canadian Network for the Advancement of Research, Industry, and Education (CANARIE), Inc. The CANARIE Board is comprised of 15 representatives from the private sector and from other institutions with an interest in development of the communications infrastructure for a knowledge-based Canada. Mr. Black represents the Canadian Association of Research Libraries.

National Association of State Universities and Land-Grant Colleges: Thomas W. Shaughnessy, University Librarian, University of Minnesota, has been appointed Chair of the NASULGC Board on Library Resources and Services.

U.S. Information Infrastructure Task Force: Toni Carbo Bearman, dean of the School of Library and Information Science, University of Pittsburgh, was appointed to the U.S. National Information Infrastructure (NII) Advisory Council by U.S. Secretary of Commerce Ronald H. Brown. The 27-member Advisory Council will provide public and private sector input to the Clinton Administration on how to put the new infrastructure in place. ■

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ARL CALENDAR 1994

April 5-6	Coalition for Networked Information Spring Task Force Meeting Washington, DC
April 6-8	National Net '94 Washington, DC
April 17-23	National Library Week
April 20-22	1st International Conference on TQM in Academic Libraries ARL OMS/Wayne State University Libraries Washington, DC
April 23-24	Computer Professionals for Social Responsibility "Developing an Equitable and Open Information Infrastructure" Cambridge, MA
May 17-20	**ARL Board and Membership Meeting** **Austin, TX**
June 23-30	American Library Association Miami, FL
August 5-7	Black Caucus of the American Library Association "Culture Keepers II: Unity Through Diversity" Milwaukee, WI

TRANSFORMING THE RESERVE FUNCTION

ARL and the National Association of College Stores will sponsor a workshop entitled "Transforming the Reserve Function: Providing Instructional Support in an Electronic Age" in Durham, North Carolina, June 2-4. The workshop is designed to equip institutions with the information and tools they need *now* to transform their reserve operations. Case studies, demonstrations, and discussions lead by experts in the field are featured. To receive information and registration materials, contact Diane Harvey, ARL, 21 Dupont Circle, Suite 800, Washington, DC 20036 (e-mail: diane@cni.org).

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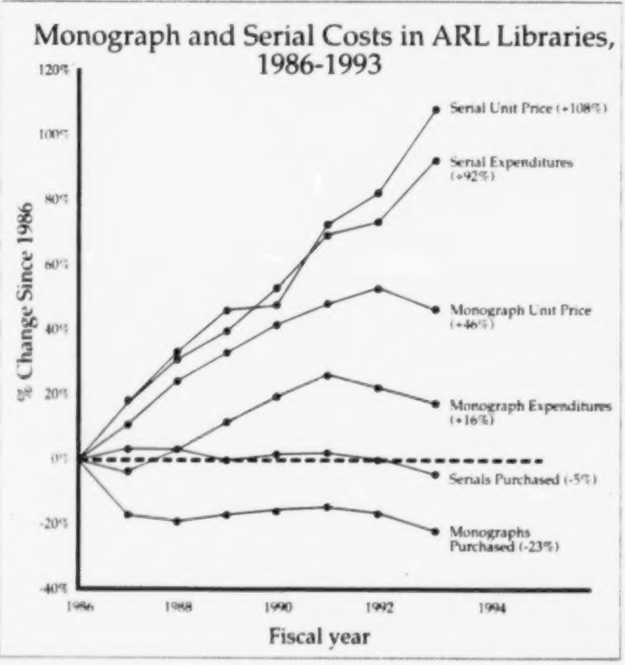
Current Issues

RISING PRICES CONTINUE TO PLAGUE ARL LIBRARIES

Rising prices for library materials continue to impact the acquisition of resources among the members of the Association of Research Libraries, according to the newly published 1992-93 *ARL Statistics*. The new data confirm that libraries are continuing to spend more for fewer resources. The *ARL Statistics* is a compilation of data from ARL's 119 members, covering collections, staff, interlibrary loan activity, and expenditures.



Monograph and Serial Costs in ARL Libraries, 1986-1993

In his introduction to the 1992-93 *Statistics*, Kendon Stubbs of the University of Virginia and consultant to the ARL Statistics and Measurement Program, compares trends among the 106 university library members of ARL that have reported data since 1985-86. The "serials crisis" has persisted for these libraries; during the period 1985-86 to 1992-93, both total expenditures for serials and the price per serial subscription almost doubled for ARL libraries.

"The 1993 expenditures of nearly twice as much as the libraries spent for serials in 1986 purchased 5% fewer subscriptions than the libraries maintained in 1986," reported Stubbs. "In other words, after six years ARL members were offering students and faculty 95% of the serial resources, but at almost twice the cost." The price per subscription rose an average of 13% during this period.

The graph "Monograph and Serials Costs in ARL Libraries, 1986-1993" shows that the trend in price increases is fairly constant and likely to continue. In 1985-86, the median price of a serial subscription to ARL university libraries was $87.47. If prices continue to increase, Stubbs states, "by the year 2000 the journal that had a median price in ARL academic libraries of $186.85 in 1993 will cost about $440."

The data show an equally serious monograph crisis that has not received widespread recognition. While serials have claimed more and more of the materials budget since 1986, rising from 52% to 63%, the budget share for monographs has fallen by about 10%. By 1993, ARL university members were buying 23% fewer monographs but paying 16% more. As a result, students and faculty had access to local copies of only three of every four new books that the libraries had acquired in 1986. Interestingly, in 1993, ARL university libraries paid slightly less per volume than in the preceding year — $41.88 compared to $42.50 — perhaps due to foregoing more expensive monographs that they might have purchased in previous years. While the downtrends in monographs are not as consistent as the uptrends in serials, Stubbs reports that, "the monograph trends make it not unreasonable that by the year 2000 ARL libraries may be acquiring only half the new books that they acquired in 1986."

The 1986-1993 period has had an effect on the resources available to students served by ARL university libraries. Since 1986, the student population has increased by 11%, but by 1993, libraries were buying 30% fewer new volumes per student. (Because additions to the collection are cumulative, the gross number of volumes available to students rose by 11%.) The median ARL library had the same number of total staff in 1993 as in 1986, but now there are 10% fewer staff per student. An interesting counterpoint has been the growth in interlibrary loan; the number of borrowing transactions per student has increased by 60% since 1986.

According to the 1992-93 *Statistics*, total expenditures for all ARL libraries last year were over $2.1 billion, with library materials, at just under $589 million, accounting for 28%. Salaries and wages, at just under $1.1 billion, are 52% of the total; contract binding, $25.6 million, is 1%; and other operating expenditures at $418 million, which include automation costs, accounts for 19% of the total expenditures for ARL libraries.

The 1992-93 *Statistics* contains six new categories of data on library collections: manuscripts and archives; maps and other cartographic materials; slides, pictures, prints, and other graphic materials; compact disks, cassette tapes, and other audio materials; video and film materials; and floppy disks, CD-ROMs, and other computer files. The new categories are derived from the major divisions of the *Anglo-American Cataloguing Rules*, and match collection categories in the current U.S. IPEDS library reports as well as the not-yet-published revision of the NISO standard on library statistics (Z39.7). Together with the rest of the collections categories, ARL's data now present a much more detailed picture of the collections in North American research libraries.—*Nicola Daval*

AVAILABILITY OF ARL DATA

The 120-page printed edition of the 1992-93 *ARL Statistics*, is available by pre-paid order to ARL institutions for $25 and to nonmembers and individuals for $65.

Current data are also available in machine-readable form. *ARL Statistics, 1992-93*, issued as ASCII files on a single MS-DOS high-density 3.25" diskette, updates the 80-year historical compilation *Research Library Statistics, 1907/08 Through 1987/88*, published in 1990, the three-year compilation *ARL Statistics, 1998/89-1990-91*, published in 1992, and the first annual update, *ARL Statistics, 1991-92*, published in 1993. Documentation is furnished linking the data sets and giving general recommendations for loading and use in spreadsheet or database software. No retrieval or analysis software is included on the disks.

The machine-readable annual updates are priced at $5 per year for members and $15 per year for nonmembers and individuals. *ARL Statistics, 1988/89 Through 1990-91* is priced at $9 for members and $20 for nonmembers and individuals. Any order for the historical compilation *Research Library Statistics, 1907/08 Through 1987/88* will automatically include the three update diskettes at no additional cost.

STUDY EXPLORES RETRENCHMENT STRATEGIES IN ARL LIBRARIES

The ARL Office of Management Services has just published OMS Occasional Paper #16, *Resource Strategies in the 90s: Trends in ARL University Libraries*. Based on a survey and report prepared by Annette Melville, University of California–Berkeley, School of Library and Information Science, as part of the OMS Collaborative Research/Writing Program, this study closes a long-standing gap in the literature available on university library retrenchment.

The funding slowdown in the late 1970s and the 1980s, combined with the economic recession, had a major impact on universities and, consequently, on their libraries. While university libraries are well aware of their own financial situations, they lack a general overview of what has happened across the academic and research library community. Little cross-institutional data exists on cutbacks implemented by ARL libraries in the recent past, and few studies have systematically compared the impact of budgetary changes across North American university libraries.

This report offers a wide-angle view of the strategies employed by these libraries as they adapted to this period of retrenchment. Its integrated findings draw attention to patterns that emerge across ARL member institutions and to significant differences among Canadian and U.S. public and private university libraries.

The study reports on the findings of a survey undertaken in Fall 1992 to explore the strategies chosen by ARL libraries over the previous three years for dealing with budget cutbacks. It captures data from 87 ARL libraries on sources of revenues, adaptive tactics, and budgetary practices and establishes a common baseline for comparing these distinct, but interrelated, factors. The report also addresses such issues as changes in university library expenditures and library support between 1990 and 1992, supplemental resources being used to augment funding, the flexibility of university libraries in administering their funds, and the resource management strategies employed.

Resource Strategies in the 90s: Trends in ARL University Libraries is available for $25 ($18 ARL members). Prices include library rate postage. Send information requests and prepaid orders to ARL/OMS, Publications Department, Dept. #0692, Washington, DC 20073-0692.

ARL 1993 SALARY SURVEY

The 1993 *ARL Annual Salary Survey* is the latest in the series compiled and analyzed since 1979 by Gordon Fretwell of the University of Massachusetts and consultant to the ARL Statistics and Measurement Program. This publication provides a valuable and consistent source for tracking the salaries of professionals in research libraries and for comparing overall demographic and economic patterns to librarians in other types of libraries and to the North American workforce at large.

ARL UNIVERSITY LIBRARIANS

	Combined	Men	Women
Overall average salary*	$43,075	$45,336	$41,777
Overall average years of experience*	15.8	16.3	15.5
Number of filled positions	8,134	2,844	5,290
Minority librarians' average*	$40,680	$43,916	$39,330
Number of minority librarians*	710	209	501
Average director salary	$102,927	$103,987	$101,272
Number of directors	106	64	42

* does not include university law or medical librarians

The 1993 *Survey* includes the same array of tables as that for 1992. The university library median beginning professional salary (BPS) for FY93 is $25,834, ranging from a low of $21,000 to a high of $33,600; the median BPS for ARL's 11 nonuniversity libraries is $26,806. Figures for FY93 average salaries and years of experience in university libraries are in the accompanying table.

The median salary figure for nonuniversity libraries is $44,949. In his introduction, Fretwell notes "the purchasing power of nonuniversity staff at the median is the same as it was ten years prior, while the typical beginning professional salary has gained 11.6% in purchasing power during the same decade.

"University salaries have generally made more progress than salaries in nonuniversity libraries. The current purchasing power of university staff at the median has increased 11.2% and the median beginning professional salary has gained even more — a substantial 12.9% when compared to FY84."

The *Survey* contains detailed tables of salaries by job categories, years of experience, sex, race, size of library, and geographic region. Separate sections are provided for nonuniversity, law, medical, and Canadian university libraries.

Minority librarians in the 95 U.S. university libraries (including law and medical) now number 830, an increase from 802 in FY92, and account for 11.3% of ARL's U.S. library professionals. Analyzing the patterns of minority representation, Fretwell finds that "minority staff continue to be disproportionately distributed across the country," with minority librarians underrepresented in the West North Central and the East South Central regions, and overrepresented in the Pacific, South Atlantic, and East North Central regions. The salary differential separating average minority salaries from the average salaries of their Caucasian counterparts is $2,394, or about 5.6% lower for minority staff.

As in previous years, ARL librarians in the West South Central states (Arkansas, Louisiana, Oklahoma, and Texas) have the lowest average salary ($37,088), while those in the Pacific region (California, Hawaii, Oregon, and Washington) the highest ($49,014). In Canada, the average salary for FY93 was $47,452 in U.S. dollars.

An interesting contrast to the male/female balance, about 35%/65% in ARL libraries, is in the leadership of medical libraries. Of the 53 ARL institutions reporting separate medical libraries, 30 (52%) are headed by women and 76.7% of all ARL university medical librarians are women, compared with a figure of 63.5% women in the general university libraries. But while the salaries of women medical library directors are now just .25% behind their male counterparts, with an average salary of $77,783 for both sexes combined, salaries for women in medical libraries averaged almost 13.8% lower than salaries for men ($41,179 compared to $47,773), a drop of almost 3% from FY92. The differential between median salaries for men and women in general ARL university libraries is 7.9%.

The 1993 *ARL Annual Salary Survey* is available by pre-paid order to ARL institutions for $25 and to nonmembers and individuals for $65.—*Nicola Daval*

COLLECTION EVALUATION AT THE LIBRARY OF CONGRESS

by William Z. Schenck, Collections Policy Office, Library of Congress

The Library of Congress is engaged in a major study to direct its long-range collection development efforts. Dr. James Billington, the Librarian of Congress, early in 1993 charged a Working Group on Evaluating the Collections to recommend innovative ways to evaluate the collections and to involve outside scholars in that evaluation. The Working Group, co-chaired by William Sittig, Director of the Collections Policy Office, and Prosser Gifford, Director of the Office of Scholarly Programs, recommended both a short-term survey of the collection and a more systematic approach towards evaluating the collections.

The first effort was to compile "Overviews" of major parts of the collection. These overviews provide brief snapshots of the collection. Covering sixty-two subjects, each overview describes the size and scope of the collection in that subject, general research strengths and areas of distinction, as well as listing areas either not collected or that have significant gaps. Designed primarily as a working tool to describe the collection for LC staff, the overviews are also available online through LC MARVEL.[1] The Library is especially interested in hearing from those who may have used the overviews online to learn if the information is of value to other libraries; please direct any comments to Bill Schenck, Collections Policy Office, Library of Congress.

The overviews were followed with more in-depth looks at parts of the collection, using a case study methodology to provide direction for the development of LC's collections in a time of decreasing resources but increasing availability of information. Six teams, composed of five to six members from various divisions throughout the Library, were formed late last year. While each team is focusing on several strategic questions specific to its subject area, the questions are based on common themes covering research needs of present and future library users.

The six teams, and their chairs, are:

- *Islamic Studies*: George Atiyeh, Near East Section, chair.
- *African-American Studies*: Debra Newman Ham, Manuscript Division, chair.
- *Hispanic and Hispanic-American Studies*: Georgette Dorn and Edmundo Flores, Hispanic Division, co-chairs.
- *Environmental Policy*: Stephanie Marcus and Leonard Bruno, Science and Technology Division, co-chairs.
- *Business and Economics*: James Stewart, Humanities and Social Sciences Division, chair.
- *Twentieth-Century Chinese Social Sciences*: Robert Worden, Federal Research Division, chair.

Each case study team is consulting with scholars and librarians outside the Library to identify research trends and emerging research needs; later in their deliberations the teams will bring scholars to the Library to help determine if the Library's collections are and can meet these projected research needs. Several of the teams have scheduled meetings at their professional association conferences to discuss the projects and to survey their colleagues. The China team held two meetings at the Library with scholars from universities in the Washington, DC, region, followed by a meeting at the Asian Studies Association conference in March. The Hispanic and Hispanic-American team held a similar meeting at the SALALM conference in Salt Lake City in April. Funds to support the outreach dimensions of these case studies come from The James Madison Council of the Library of Congress. The Council is a national, private-sector group dedicated to assisting the Library to enhance scholarship, education, creativity, and competitiveness.

Three of the case study teams, those dealing with environmental policy, African-American studies, and Hispanic and Hispanic-American studies, are using a grant from The Andrew W. Mellon Foundation to focus on electronic resources and services in their subject areas. Once these resources are identified, the reports will emphasize how the Library of Congress can and should make the best use of them.

After the compilation of the overviews but before the case study teams began their planning, a meeting was held at the Library in November 1993 with executive directors of major library and scholarly associations (including ARL) to discuss the various collection evaluation initiatives underway at the Library and the role that these associations could play in assisting the Library in these evaluations. The executive directors in attendance were asked to suggest names of specific individuals in their associations who might assist the Library in this evaluation and to publicize the project through their association newsletters.

The six case study projects will last almost two years; final reports from the teams are due by September 1995. Although the reports will be specific to the six subject areas being studied, it is hoped that both the process and some of the recommendations will be applicable to other fields of study and collecting. Periodic updates on this project will be provided to ARL members through the ARL Research Collections Committee.

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[1] LC MARVEL can be accessed via the Internet by telnetting to MARVEL.LOC.GOV and login as MARVEL. This will connect you to the "generic telnet Gopher client." If you have a Gopher client, you can point your Gopher to MARVEL.LOC.GOV port 70. The overviews are part of the LC MARVEL Research and Reference menu.

RETHINKING ILL AND DOCUMENT DELIVERY SERVICES

by Mary E. Jackson, ARL Visiting Program Officer

The North American Interlibrary Loan and Document Delivery (NAILDD) Project seeks to promote technical and system developments that will improve the identification, order placement, and delivery of materials not owned locally. Although some of these enhancements will reduce the library's mediation role significantly, these technical and system improvements will not eliminate all of the library's processing and retrieval functions.

As the NAILDD Project identified and defined needed technical improvements, it became evident that technical advancements must be complimented by rethinking internal procedures and revising service policies. This need to address both technical and nontechnical improvements resulted in a retreat sponsored by the ARL Committee on Access to Information Resources and conducted in collaboration with OMS, to develop a change strategy for ILL and document delivery services.

The retreat, held on February 23-25 in Washington, DC, was an institutional team effort. Teams were comprised of the library director or dean; the AUL responsible for public services; the direct supervisor of the ILL manager; and the ILL operational manager. Seven institutions represented on the Access Committee sent teams to contribute to the retreat: Delaware, Georgia, Iowa State, Manitoba, Pennsylvania, Smithsonian, and Washington University. In addition, Margaret Ellingson, ILL librarian at Emory University, represented the ALA RASD/MOPSS Interlibrary Loan Committee. A total of twenty-seven individuals attended the workshop facilitated by Susan Jurow and Maureen Sullivan and assisted by Jaia Barrett and Mary Jackson.

The retreat began with a series of small group discussions that identified a vision for ILL/DD services. The vision that emerged described a user-centered service in which self-sufficient library users were empowered to choose multiple access modes (novice, expert, independent) to search, request, and receive materials. Technical and performance standards support networked access, system interconnectivity, and delivery of materials, and reliable and automated management information provides libraries valuable data to support service goals and priorities. Overall, the library plays a key role in the vision by providing users with a broader range of resources more quickly, easily, and less expensively.

Participants listed forces that would help or hinder libraries in achieving this vision and identified those over which they could exert control or influence. The following forces were listed as both a help and a hindrance: technology, networking, fiscal resources, increased user expectations and demands, and an increase in the volume of resource sharing and ILL activities. Other restraining factors included the need for staff and user training, incomplete standards, lack of systems interconnectivity, copyright, current practices and mindsets, and a lack of national leadership and vision. The participants also observed that libraries have considerable influence over many of the restraining forces and that they have it in their power to remove barriers or other negative forces.

Groups also discussed future service models, listed key assumptions of these models, identified components needed to implement these models, and speculated on how libraries could move from the present to the future models. Some key assumptions that emerged are:

- current ILL services *will* undergo major changes and improvements,
- libraries will continue to be a central information provider,
- the need for effective staff development and training will increase,
- user expectations will continue to increase,
- there will be a continuing need to offer users different levels of assistance (basic to expert),
- resource sharing and ILL will be central rather than secondary services, and
- while technology will sometimes be perceived as an "insurmountable opportunity," librarians will have considerable influence and control over future ILL/DD services.

In cohort groups, participants discussed their roles and contributions, recorded issues and concerns, and identified what they needed from other groups. These responses also echoed earlier comments: the need and desire for better communication, a need for more staff training and development, librarywide understanding and support for the vision, leadership at all levels, and a national articulation of the vision.

In the closing session, participants noted how quickly the groups arrived at the vision, one that is user-centered, technically sophisticated, and flexible. Several remarked on how many libraries are beginning to move toward the vision but observed that the challenge is to focus on communicating the vision to all staff in order to achieve an effective implementation. Some observed that the retreat validated the importance of the NAILDD Project.

Results of a "name the service" contest were announced at the end of the retreat. Participants submitted twenty entries, and although there was no consensus on a name to replace "ILL," the two entries that received the most votes were: "resource location and supply," and "remote document service."

Evaluations from the retreat were positive and provided the NAILDD Project and OMS with a framework and focus for a new suite of resources — training, consulting, and information services — to assist libraries to redesign and implement new ILL/DD programs.

OFFICE OF SCIENTIFIC AND ACADEMIC PUBLISHING

Ann Okerson, Director

LIBRARIES SPONSOR CAMPUS SEMINARS ON SCHOLARLY COMMUNICATIONS

Directors of research libraries began the 1994 year with particularly energetic and aggressive initiatives focused on engaging campus faculty members with the changing face of scholarly communications. Several ARL institutions organized large and highly visible campus events aimed at improving the understanding of the dynamically changing world of research libraries and scholarly publishing. All the events were carefully organized in advance; supported, funded, and attended by principal university administrators; attracted many faculty members; sought to achieve very specific outcomes; and were characterized afterward by the university library staff as particularly successful.

Each event was different in structure, organization, and specific focus. The Arizona libraries planned a retreat for 120 strategically selected faculty, administration, and librarians with facilitated small-group discussions, meals, and breakout events. The University of Pittsburgh event used The Andrew W. Mellon Foundation's study of research libraries as well as the AAU Research Libraries Project task forces to frame a day for some 300 guests in a more or less informal style with a sit-down lunch to encourage informal dialog. Finally, the University of Washington Symposium paired all-day lectures and discussion with simultaneous high-tech information demos in a nearby library teaching classroom.

As a description of the programs presented and the approaches designed by these institutions has proved to be of interested to academic library directors in North America, the summaries are offered below. For further details, contact: Sherrie Schmidt, Dean of University Libraries, Arizona State University (idsxs@asuvm.inre.asu.edu); Paul Kobulnicky, Acting Director of University Libraries, University of Pittsburgh (knicky@vms.cis.pitt.edu); Betty Bengtson, Director of University Libraries, University of Washington (bbengt@u.washington.edu); or Ann Okerson, ARL (ann@cni.org).

Arizona Universities Host Scholarly Communications Seminar

As a result of the history of collaboration among the three Arizona institutions of higher education (Northern Arizona University, University of Arizona, and Arizona State University), a proposal to jointly fund a seminar on scholarly communication with specified outcomes was approved by the three chief academic officers. The two-day event, which included meals and hotel housing for the seminarians, was held on January 13-14 in Tempe, AZ. Each of the three presidents invited, from their respective institutions, thirty faculty members including faculty leaders, library advisory committee members, administrators from colleges, academic affairs, research, information technology, and the University of Arizona Press to participate. Each invited participant was requested to respond with acceptance or regrets to one of the librarian seminar planners on the local campus. As regrets were received, another faculty member was invited.

The seminar was designed to actively involve the attendees in developing an action plan for Arizona in response to the current environment of scholarly communication. Provost and Senior Vice President at Arizona State University, Milton Glick, welcomed the participants and expressed the urgency that the academy confront the threats and opportunities that abound in scholarly communication.

Each of the speakers addressed one of the aspects of scholarly communications in some depth. Ann Okerson of ARL set the stage by describing the tremendous growth in number and cost of traditional publications. She cited longitudinal statistics reflecting the concomitant growth of library budgets and sponsored research as well as the declining number of journals received by ARL libraries in the aggregate during the same period, 1982–1992. She predicted that, by the year 2000, libraries will be conducting at least half their library purchasing transactions for electronic or electronically expedited materials.

Kenneth Crews, Associate Professor of Business Law at San Jose State University, warned that copyright law and technology are on a collision course. He suggested that any changes made in the law should recognize the rights of the owners as well as the needs of the users. He encouraged faculty members to take the initiative to assert and preserve their rights in the area of intellectual property. James O'Donnell, Professor of Classics at University of Pennsylvania, traced the development of earlier transitions in communications from the oral tradition to writing on papyrus; to manuscripts in parchment and vellum; and from manuscripts to print. Each of these transitions changed the behavior of teacher and learner. The transition to the electronic world will do the same, encouraging dialogue and collaboration. Failure to adapt to new modes may doom our organizations.

George Brett, Clearinghouse for Networked Information Discovery and Retrieval, demonstrated capabilities of the Internet to transmit text, sound, and video to distant locations. Advances in software and ubiquitous telecommunications will enable much wider dissemination of information of all kinds. Online journals and Internet resources were demonstrated, providing participants an opportunity to observe the uses of technology currently being made.

Work groups of faculty members, speakers, and librarians developed issues and actions required to respond to the changing environment. Next steps will include distributing a summary of seminar discussions as well as the action plan. The Arizona libraries will incorporate and advance several of the action items in their own planning while standing ready to support initiatives undertaken by others.

The success of any endeavor is dependent upon thoughtful planning. The Collection Development Committee of the AULC, Arizona University Library Committee, collaborated extremely productively involving additional colleagues from all the universities. The seminar was well-received by the participants and clearly achieved one of its goals, which was to raise the consciousness of the scholarly community in the state.

Managing the Information Revolution at the University of Pittsburgh

On February 16, the University of Pittsburgh presented a day long symposium entitled "Managing the Information Revolution: The AAU Research Libraries Project." The event was co-sponsored by the Office of the Chancellor, the University Center for International Studies, the School of Library and Information Science, and the University Library System. Planning for the Pitt symposium was greatly facilitated by the strong, early, and vocal support of J. Dennis O'Connor, the Chancellor of the University of Pittsburgh and a well informed supporter of libraries.

The program, moderated by Duane Webster of ARL, consisted of an opening review of the landmark study *University Libraries and Scholarly Communication* given by Richard Ekman, Secretary of The Andrew W. Mellon Foundation. Mr. Ekman's opening remarks were put into an everyday library context by Deborah Jakubs of Duke University. These remarks were followed by three broad panel discussions, one on each of the AAU task force topics. Each of the panels consisted of a member from the AAU Task Force and several Pitt faculty. Each panel discussion ended with audience participation, and the program itself ended with a Town Meeting led by Duane Webster.

The event was intended primarily to encourage faculty involvement in library planning. During the past four years, the University of Pittsburgh has provided its libraries with funding nearly sufficient to keep pace with collection inflation rates. As a result, it has proved understandably difficult to generate faculty interest in the problems besetting research libraries. The Mellon study, the AAU project, and Pitt's own slowing of support for library collections provided the conjunction to raise these issues anew.

Another underlying purpose of the event, and the determining factor of its form, was to promote the collaborative process of the AAU project. Pitt established three local task forces made up primarily of academic faculty and mirroring the AAU task forces. The charge to each Pitt task force was to analyze the recommendations of the national task forces and to communicate their analyses to the Chancellor through the Director of the University Library System. Each task force was also asked to comment on how the issues should affect the library's five-year planning. The Pitt task force reports were due on April 1, 1994.

Attendance at the symposium was high. Librarians personally promoted the event among the academic faculty. Faculty were also sent several mailings, and the University's official newspaper printed, just 10 days before the event, a prominent, full-page article that included an analysis of the AAU project, the conclusions of the Mellon study, and the schedule of the symposium. Attendance was not hurt by beautiful weather.

The high point of the event was the quality of the formal presentations by the faculty during the program's panel discussions. Those who participated were among the most prestigious research and teaching faculty on campus. These faculty had not been associated in the past with library issues. Their stature and their carefully prepared responses signalled to their colleagues that the issues facing research libraries and scholarly communications are serious indeed and worthy of faculty time and effort.

The reports of the Pitt task forces, the final reports of the AAU task forces, and the activities surrounding pilot projects spawned by the AAU recommendations will be vehicles for continued activity on the Pitt Campus.

Scholarly Publication in Crisis: Potential and Promise at the University of Washington

Working in close cooperation with the Library Director and several staff members of the University of Washington Libraries, the Chair and past Chair of the Faculty Senate Council on University Libraries organized a faculty-sponsored, day-long symposium on March 4 entitled "Scholarly Publication in Crisis: Problems, Potential, Promise." The planners targeted faculty (including especially faculty journal editors) and key administrators at the University of Washington as attendees.

The goals of the day's events were to raise consciousness about the recent and profound changes occurring in scholarly publishing and to engage the immediate and ongoing interest of the major campus stakeholders in helping to find some possible solutions to the serials crisis. Desired outcomes included the identification of individuals interested in follow-up activities, the establishment of some new partnerships between segments of the University, a better understanding among attendees about the reasons underlying an upcoming serials cancellation program, and the identification of individuals interested in follow-up activities.

The symposium was widely publicized on campus through electronic announcements and in over 1,750 printed announcements, posters, cover letters, and mailings to selected individuals and groups including faculty, Libraries, staff, university administrators, and the University of Washington Press. Selector/liaison librarians were encouraged to invite their faculty liaisons to attend with them. Notices were sent to various listservs, to selected regional libraries, and to members of the Medieval Association of the Pacific, which was holding a meeting on campus that weekend. The weekly campus newspaper interviewed the chair of the Faculty Senate for an article the week before the symposium, generating broader interest on campus. This article was followed up in the local press the day following the symposium.

The University administration became involved in two major ways: key members, including the Provost, the Dean of the Graduate School, and the Vice Provost for Research, were asked to introduce speakers. They were also asked to help underwrite the cost of the symposium. The Chair of the Faculty Senate introduced a speaker, and the Chair of the Faculty Council on University Libraries was the general host for the day.

There was no advance registration or fee for the event, which consisted of three individual presentations, concluding with a four-member panel, each of whom gave briefer talks. Throughout the day, carefully orchestrated demonstrations of electronic publishing efforts were given in the same building by 20 library staff members and a faculty member. A sign-up sheet was provided for attendees who wanted to receive information about future events related to the symposium's topics.

It is difficult to choose among the high points. The Provost's opening remarks showed him to be very knowledgeable about the subject of the day as well as remarkably sympathetic to the libraries' situation. Principal topics and speakers included: "Old Issues from the '80s, New Strategies for the '90s" by Ann Okerson; "The Electronic *Deus ex Machina*: New Solutions, New Problems" by James J. O'Donnell; "Intellectual Property and Electronic Publishing" by Scott Bennett, Director of the Milton S. Eisenhower Library, Johns Hopkins University; and "Hear My Story: The Major Stakeholders in Scholarly Publishing" including panel participants Betty Bengtson, Director, UW Libraries; Ellen Bauerle, Acquiring Editor, University of Michigan Press; and Paul Hodge, Professor of Astronomy, UW, editor of the *Astronomical Journal*.

The room had 125 seats. Attendance ranged from SRO in the morning to quite good by late afternoon with a distribution of about 40% faculty, 50% librarians, and 10% others. The Library staff have compiled an e-mail list of people who indicated they had a continuing interest in learning more. Within two weeks, UW faculty on the list were invited to attend a presentation within the Libraries on determining the value of a serial. Other follow-up will be planned. *–Ann Okerson*

MAKING THE FUTURE WORK TODAY

The Association of American University Presses and ARL, in partnership with The American Physical Society, The Johns Hopkins University Press, and The University of Virginia Library, will sponsor the Fourth Symposium of the ARL and AAUP, "Visions and Opportunities in Electronic Publishing," November 5-7, 1994, in Washington, DC.

The symposium series has become a space apart, where stakeholders in academe and scholarly communications — faculty, librarians, and publishers from university presses and learned/professional societies — can gather to exchange information about their interests and concerns. The Fourth Symposium, *Making the Future Work Today*, will focus on four issues: fair use, cost recovery, developing content, and cooperative ventures. As the title indicates, the organizers are especially keen to explore those areas where the interests of the various participants may appear to diverge and in stimulating productive discussions, particularly within academe, about concrete ways in which we can work together to resolve any differences.

Submissions and proposals are invited; the deadline for both is May 31. Submit your name, affiliation, title of presentation, type of presentation (paper, technical demonstration, case study), need for technology support at the meeting, and comprehensive abstract to : <symposium@e-math.ams.org>.

The Third Symposium, *Gateways and Gatekeepers*, held in November 1993 attracted 160 participants and featured one post-event optional excursion, "A Day in the Electronic Village," created by the University of Virginia Library. The November 1994 symposium will offer two excursions:

- "A Day in the Electronic Village" (University of Virginia Library) and
- "A Day at the University Press" (The Johns Hopkins University Press) with the support of the Eisenhower Library, JHU.

COALITION FOR NETWORKED INFORMATION

Paul Evan Peters, Executive Director

BILLBOARDS ON THE INFORMATION HIGHWAY

It had to happened. With all the talk about the Clinton Administration's National Information Infrastructure (NII) initiative and information highways in general, the folks on Madison Avenue had to begin to wonder what all this might mean for advertising. The first thing that these folks have noticed is that a global information infrastructure/highway already exists: the Internet. The second thing they've noticed is that the Internet is a dream come true, because it provides ready (and relatively inexpensive) access to tens of millions of literate, monied, and intelligent individuals who are inclined (perhaps "compelled" is more like it) to reveal their interests and desires by joining and participating in "newsgroups," "lists," and other Internet discussion fora of all sorts. Madison Avenue is now poised to add its messages to the rich soup of existing Internet conversations, resources, and services.

Yet the Internet culture, very like the people-to-people efforts that make barn raisings and volunteer fire departments possible, has traditionally been inhospitable to commercial interests and actors. But it is not uncommon for people to offer ringing endorsements for specific products or services that they like. These endorsements frequently come across like advertising, even though the people making them have absolutely no connection to the products and services involved. Other people answer questions posted to fora as innocent as "fat-free" and "alt.weddings" by preceding or following them with statements that proclaim independence from her or his employer and its products and services. These "standard disclaimers" allow such individuals to advocate specific actions, products, and services while protecting themselves from being accused of crudely pushing their vested interests. However, there are now forces at work on the Internet that do not come out of a volunteer tradition. The traditional Internet "tribe" has begun to face the fact that the commercial population of the Internet is increasing rapidly and that with this increase will come an increase in the amount of commercial and, therefore, advertising communications. The question is no longer whether advertising will be a feature of the Internet information environment, it is "how."

There are two very good reasons for embracing the inevitability of a growing amount of commercial advertising on the Internet:

- advertising conveys important information (we need to devise appropriate ways to convey such information on the Internet) and
- advertising contributes significant revenue to defraying the costs of many existing publications (we need to devise appropriate ways to generate these revenues on the Internet).

There remains, however, a host of key questions (some of which follow) that must be answered to the satisfaction of the Internet community before it will be at peace with commercial advertising. They are:

- What kind of advertising is most useful to *both* advertisers and potential buyers?
- How can such advertising be offered on the Internet in a way that meets the needs of both advertisers and potential buyers without becoming the digital analog of junk mail?
- What additional services (inquiries, orders, buyer support, etc.) can meet the information needs of advertisers, buyers, and users?
- How can the needs of advertisers be met without interfering with other uses of the Internet or invading the privacy of Internet users?
- How can viable, sustainable, and mutually beneficial relationships be created among Internet publishers, advertisers, and users?

Finally, it seems certain that there will be six basic categories of Internet advertising. They are:

- Endorsements: Recommendations from users offered in other types of communications.
- Billboards: Specific postings made to subject-oriented Internet discussion fora.
- Directories ("Yellow Pages"): Searchable databases of nothing but advertising.
- Listings ("Penny Savers"): Product or service -oriented Internet discussion fora.
- Periodicals: Advertising that appears along with editorial content, which it helps to underwrite.
- Nuisance ("Junk Email"): Direct and unsolicited advertising.

Madison Avenue clearly regards the Internet as too good a market to overlook. The Internet simply contains too many of the right sorts of people organized into just the right sorts of interest groups for advertisers to stay away. And, this is something that will be even more true come the National Information Infrastructure (NII). (Indeed, in some quarters it seems that the whole point of the NII is advertising and order processing!?)

Two simple guidelines will serve both network advertisers and users well as these developments run their course: advertisements should convey information rather than engage in hyperbole, and advertisers should not impose their messages upon users. This is good advice for advertising in general, but it is absolutely essential for advertising by good commercial citizens of the Internet.
—*PEP*

This article is based upon a discussion of present and future advertising on the Internet that the Coalition has facilitated since last September. It draws particularly upon messages posted to the cni-modernization@cni.org Internet discussion forum; the archive of this forum can be accessed via ftp.cni.org and gopher.cni.org. It also draws upon on a purple-paper drafted by Judith Axler Turner, Director of Electronic Services, The Chronicle of Higher Education, *in February and which is now under active discussion in the cni-modernization forum.*

FEDERAL RELATIONS

Prudence S. Adler, Assistant Executive Director-Federal Relations and Information Policy

PUBLIC INTEREST VIEWS OF THE NII

Over 650 members of the public interest community came together in Washington via the Internet and through public radio on March 29 to share their views on how the emerging information infrastructure should reflect public needs. Sponsored by the Clinton Administration's Information Infrastructure Task Force and nine foundations, the Public Interest Summit was an opportunity for the public interest community — members of the education, library, health, community media, union, civil liberties, and others — to present alternative views to the entertainment and home shopping vision of the NII.

In addition to four panels, which explored issues relating to applications, cost and access issues, community development and the economy, and democracy, there were several speakers including Vice President Gore; Wade Henderson of the National Association for the Advancement of Colored People (NAACP); Raul Yzaguirre, President, National Council of La Raza and Chairman, Independent Sector; and Peter Goldmark, President of the Rockefeller Foundation. Although much of what the Vice President said was not new, he did commit to an NII "like the Internet of today." Noting that, "without provisions for open access, the companies that own the networks could have total control. They could use this control to ensure that their customers only have access to certain programming." Announcing the availability of several important government datafiles, he noted, "by enabling all of the people of our country to come into close contact with the information about national problems that we need to solve, we can empower our representative democracy to be far more effective than has been true in the past."

Henderson spoke of the economic, social, and political dimensions of access to the NII as frontier civil rights issues of the twenty-first century. He called for revisions to current regulation and for the public right to universal service.

Goldmark made clear that the not-for-profit and non-commercial sectors must participate in this debate. "The non-commercial public spaces will only be identified and claimed if the nonprofit, independent sectors and institutions of our society get their act together and figure out how to play their part with other sectors." Commenting that he could not predict "all the ways in which local governments and forums and dialogues will wind up using this network, ... if we do not provide for this from the beginning we will pay an enormous price."

The clear challenge ahead — also characterized as an insurmountable opportunity — will be to make the visions presented at the summit, including the Vice President's, match the bills' moving at a record pace through Congress, restructuring the current telecommunications infrastructure as the foundation of the new NII.

TELECOMMUNICATIONS BILLS MOVE AHEAD

The House Energy and Commerce Committee approved an amended version of H.R. 3636, the National Communications Competition and Information Infrastructure Act of 1994. H.R. 3636 seeks to "promote a national communications infrastructure to encourage deployment of advanced communications services through competition." Of particular interest is section 103, "Telecommunications Services for Educational Institutions, Health Care Facilities, and Libraries." As amended by the Committee, the National Telecommunications and Information Administration (NTIA) would conduct an annual nationwide survey to determine the availability of advanced telecommunications services to these institutions. Following the NTIA survey, the Federal Communications Commission would issue a notice of proposed rulemaking that would:

- "define the circumstances under which a carrier may be required to interconnect its telecommunications network to these institutions"; and
- "provide for either the establishment of preferential rates or the use of alternative mechanisms to enhance the availability of advanced services to these institutions."

Although the bill defines educational institutions as elementary and secondary institutions, it incorporates an amendment proposed by Reps. Kreidler (D-WA) and Klug (R-WI) that addresses some but not all of the concerns of higher education. The new amendment directs the FCC to assess the feasibility of including post-secondary institutions in any regulations promulgated under section 103.

Additional language that would define "public libraries" was not included. ARL, ALA, and others in the higher education community promoted an expanded definition. S. 1822, the Communications Act of 1994, does not exclude post-secondary institutions in the definition of educational institutions; thus, they may be eligible for preferential rates.

H.R. 3626, the Antitrust and Communications Reform Act of 1994, was approved by the House Judiciary Committee. This bill would permit the regional Bell telephone companies (Baby Bells) to enter the long distance market and to manufacture equipment. The amended bill includes provisions that would require the Baby Bells to obtain permission from the Department of Justice prior to entering the long distance market.

A recent study by Common Cause, a public interest lobby group, details contributions by the political action committees (PACs) of the Baby Bells and the long-distance carriers (e.g., AT&T) to members of the House and Senate. The Baby Bells' PAC channeled $11.2 million, and the long-distance carrier PAC funnelled $8.3.million to members of Congress over the past decade.

NETWORKING BILL PASSES SENATE

The National Competitiveness Act, S. 4, passed the Senate on March 16. Title VI, the Information Infrastructure Technology Applications Act of 1994, contains many similar provisions as the House passed, H.R. 1757, the National Information Infrastructure Act of 1993. Both bills seek to spur the development of applications in digital libraries, education, government information, energy, health care, and manufacturing. And both bills call for programs to support the research and training of "teachers, students, librarians, and Federal, State, and local government personnel in the use of local and national computer networks." In addition, the bills support "training programs for librarians ... to instruct the public in the use of hardware and software for accessing and using local and national computer networks." Finally, section 611, Support for State-Based Digital Libraries, would initiate a competitive, merit-based program to assist states in the development of electronic libraries. A conference committee to resolve differences between the House- and Senate-passed bills is required.

HEA UPDATE

Four members of Congress have initiated a campaign to maintain funding of library programs. Reps. Major Owens (D-N.Y.), Jack Reed (D-R.I.), Pat Williams (D-Mont.), and Dale Kildee (D-Mich.) are asking their House colleagues to sign a joint letter to the House Appropriations Subcommittee on Labor, Health and Human Services, and Education to support currently funded library programs and to provide a total level of funding in FY95 that is at least equal to FY94 — $146,309,000.

In a letter to their colleagues, they noted, "the Federal government spends $146,309,000 on library programs, less than one one-hundredth of one percent of the Federal budget. That works out to $0.57 per person, or about the cost of a ball-point pen. For this minimal investment, the Federal government generates enormous returns in expanding access by our constituents to a wealth of information resources, whether housed within the walls of their local branch library or located halfway across the world and accessible through new technologies."

LIBRARY POSTAL RATE MAY JUMP 74%

Under a U.S. Postal Service (USPS) proposal (See the March 18 *Federal Register*, pp. 12996-13016) to increase all postal rates, the fourth-class library rate would increase 73.7 percent. The proposed rates, if approved by the Postal Rate Commission, would not take effect until 1995, but the impact on ARL Libraries would be significant.

On April 4, USPS representatives met with groups that will be most affected by this cost increase. ALA and ARL were represented, as well as members of the publishing community. Gary Kraske, Associate Director for Administrative Services, University of Maryland–College Park Libraries, also attended the meeting and presented compelling data that reflects the additional costs the library would have to bear with these proposed rates. The USPS requested additional statistics from these user groups to highlight the impact the increase.

Responding to the USPS request, ARL noted "Well-established resource sharing and cooperative programs help alleviate the resulting losses, but only if they can be maintained without grievous damage to a participating library's service to primary clientele. This rate increase will stifle ongoing resource-sharing efforts at a time when they are more critical than ever to scholars, researchers, and the public."

Fourteen ARL Libraries responded with preliminary data showing how this increase will affect materials budgets as well as interlibrary loan costs. Some examples are:

- University of Maryland reports that the increase would cost an additional $44,220 to the book budget and $25,795 for other library operations, including interlibrary loan.
- Pennsylvania State University Libraries predicts that this increase would mean a 2.8% decline in the size of the book budget.
- Based on current levels of service at the University of Oregon, the proposed fourth-class rate increase would cost an estimated $64,500.
- Kansas University Libraries now spends approximately $55,000 per year on postage at the fourth-class rate, which includes mailing to libraries in small towns in Kansas for interlibrary loan and the like. The increase could drive costs up by 40%, costing an additional $23,000. —*Patricia Brennan*

BRIEFS

ARL, the American Association of Law Libraries, and the Special Libraries Association submitted a statement on Dissemination of Federal Government Information and the Depository Library Program to the Senate Committee on Rules and Administration.

The National Archives and Records Administration published draft "Standards for the Management of Federal Records Created or Received on Electronic Mail Systems" (FR, 3/24/94, pp. 13906-10.) Comments on the proposed regulations may be filed prior to June 22, 1994.

S. 1587, Title V-A, The Federal Acquisition Streamlining Act of 1993, includes provisions that would authorize the federal government to assert copyright over computer software developed by federal employees. These are included in a bill focused on procurement reform. ARL joined other library, industry, and public interest groups in opposing these provisions.

OFFICE OF MANAGEMENT SERVICES

Susan Jurow, Director

LIBRARYWIDE DIVERSITY PROGRAMS

by Kriza Jennings, Program Officer for Diversity and Minority Recruitment

When seeking to promote a diversity agenda in the workplace, it is our belief that libraries benefit from adopting a common definition for diversity that has been widely discussed and explored by all personnel. It is from this basic foundation that effective diversity programs are formulated. The development of a diversity program that enables library staff to explore their individual biases, prejudices, preferences, and attitudes has proven to be a good strategy for advancing an active agenda that pervades all library departments and divisions and encourages a better appreciation and understanding of diversity as a concept.

Librarywide diversity programs should not focus solely on seminars or speakers made available occasionally for staff as seems to be the practice in many libraries and on many college campuses. A more effective approach is a diversity program focused closely on the library's mission and strategic plans that integrates diversity issues into every aspect of the library's activities and services and into each unit's day-to-day operations.

A comprehensive diversity program includes numerous opportunities for personnel to experience, discuss, debate, and explore diversity throughout the organization, identifying challenges and strengths. All personnel should be involved in seeking creative solutions and responses. Through this process, staff begin to view diversity as more than just visible human qualities that make them different from each other; it helps them recognize diversity in a broader context, as a component that enhances the organization's ability to develop and provide quality services to its library users.

A library's diversity program is dependent on the commitment of the management group, including frontline supervisors, middle managers, and administrators. It is the combined focus and efforts of these group members as individuals and as an administrative team that provide the leadership needed to address barriers hindering the advancement of diversity in the workplace. An extensive review and exploration of the library's policies (as they relate to users *and* staff), procedures, climate, and work environment is a required first step.

As ARL libraries move ahead with minority recruitment and retention agendas, it is important to remember that a major factor in retention is a visible diversity program. Such a program demonstrates to others outside the institution that there is a serious commitment to human diversity — its value and assets — including a willingness to respond to the challenges and adjustments needed to create a supportive and productive work environment for all.

NEW FROM OMS PUBLICATIONS

The ARL Office of Management Services Systems and Procedures Exchange Center announces the publications of SPEC Kits #198, *Automating Preservation Management in ARL Libraries*; #199, *Video Collections and Multimedia in ARL Libraries*; and #200, *2001: A Space Reality—Strategies for Obtaining Funding for New Library Space.*

Automating Preservation Management in ARL Libraries provides insight to the types of preservation management systems already in place, as well as those being planned, within preservation departments in ARL libraries. Databases designed to control files, maintain records, and streamline workflow are being used by preservation administrators for a variety of functions from recording preservation treatments to preparing budget forecasts. SPEC Kit #198 reports on a survey conducted in the fall of 1993, and includes a compilation of responses and commentary from the participants.

Video Collections and Multimedia in ARL Libraries addresses the current status and scope of video collections and services including multimedia technology among the academic members of ARL. Instructional support and trends toward distance learning will cause libraries to play a major role in providing access to multimedia products and facilitating use of multimedia presentation technologies. The kit provides documents from academic research libraries that offer video collections and services to their users, including policy statements on copyright, collection development and access, and guides to collections services.

For library directors faced with fast-shrinking space or with outdated and hard-to-use space, the traditional arguments for justifying their requests for additional space are now complicated by the growing expectations of their funding agents. The "virtual library" and the "libraries without walls," terms used in the library profession to reflect the state of changing technology, are being seized upon by these funding agents as reasons for saving potentially multimillions of dollars in building costs. *2001: A Space Reality—Strategies for Obtaining Funding for New Library Space* was compiled as a result of a strong demand for information on recent cases for new space within ARL libraries. The information in this SPEC Kit will be useful in assisting library administrators to draw a clearer picture of the library space issue for funding agents over the next decade.

SPEC Kits are $40 each ($25 ARL members) and are also available by subscription. Prices include library rate postage. Send information requests and prepaid orders to ARL/OMS, Publications Department, Dept. #0692, Washington, DC 20073-0692.

OMS DEVELOPS "MESSAGES TO THE DIRECTOR" LIST

During a presentation of the *Management Skills Institute I: The Manager* program held in the fall of 1991, there was considerable discussion among participants about communication between middle managers and the director. The OMS faculty used this opportunity to develop the first list of "Messages to the Director." Two participants in the program described this activity to their director who then suggested that participants in each offering of the Institute be asked to identify those messages they wished to convey to their directors but were reluctant to state directly.

In each Institute held in the past two years, managers (who do not report to the director) have been asked to respond to the question: "What do you want to say to your director that you are reluctant or afraid to say?" This brief activity is part of the closing session that focuses on how participants can transfer the learning that has occurred in the Institute to their everyday work environment. The participants have found the exercise useful and were told that the information they were providing would be reported in an article in *ARL*.

The numerous messages expressed over the past two years are summarized in the following list:

- We appreciate your role and responsibilities, and we think we can help.
- We think we can contribute more if we have direct, open and regular communication with you and with other members of the senior management. Invite us to give you input into key policy decisions and major changes before the decisions are made. Ask us about our work and the problems we encounter.
- Respect us, have confidence in our abilities, and trust us to do our best to help you and the library.
- Give us more latitude for decision making. Delegate more. Recognize that we are capable of greater autonomy and independence.
- Pay more attention to the quality of communication. Involve us in decisions about how to improve both formal and informal communication in the library.
- Deal with problems in a timely way. "Don't ignore negative decisions," and don't ignore personnel problems.
- Tell us the truth.
- Take learning and training seriously. Send more staff to the Institute. Support our development and training. "Attend yourself."
- Visit our work areas and interact with staff.
- Listen to us and the staff. Tell us how our ideas have been used or not used. Explain how and why decisions have been made.
- Help us deal with the extensive change.
- Clarify the key priorities and goals for the library. Tell us how we can help achieve them.
- Involve us in discussions about the future and how we can work with you and our colleagues to create an effective, productive work environment.

The participants in the Management Skills Institutes in the past few years are different from those who attended more than a decade ago. Today's managers recognize their responsibility to the library as a whole and are eager to contribute their ideas, time, and energy. They find their work to be challenging, but they also like their leadership responsibilities. Many see a better relationship with the director and other senior administrators as critical to their effectiveness. OMS faculty will continue to encourage Institute participants to speak up and communicate their ideas, needs, and concerns directly to their directors. —*Maureen Sullivan*

1994 OMS TRAINING PROGRAMS

Library Management Skills Institute I: The Manager*
Nashville, October 11-14

Library Management Skills Update I: Building Effective Performance
Tulane University, May 25-26
Baltimore, October 4-5

Library Management Skills Update II: Managing Priorities and Making Decisions
Baltimore, October 6-7

Library Management Skills Institute II: The Management Process**
Chicago, November 6-11

Implementing Continuous Improvement Programs in Libraries
Washington, DC, June 6-9
Boston, October 25-28

Training Skills Institute: Managing the Learning Process
Washington, DC, September 21-23

Resource Management Institute: Financial Skills for Librarians
Washington, DC, November 2-4

* *formerly Basic Library Management Skills Institute*
** *formerly Advanced Library Management Skills Institute*

For registration information, contact OMS at 202/296-8656.

ARL ACTIVITIES

G. Jaia Barrett, Deputy Executive Director

ARL ESTABLISHES INTERNET SERVER

During a strategic planning process, the ARL Board and staff agreed that a presence and outreach through the Internet were a key priority for the Association. To enrich ARL's technology capabilities, the position of Electronic Services Coordinator was created, Dru Mogge was hired as the first full-time professional librarian in this position, and a server (arl.cni.org) was established, utilizing the SURAnet connectivity provided for ARL by the Coalition for Networked Information (CNI).

Working within OSAP and in collaboration with all ARL programs, Mogge's starting point was the implementation of a Gopher for ARL. The Gopher software, written at the University of Minnesota and named for the UMN mascot, is one of the most accessible means of providing information over the Internet. Gopher can be used by anyone on the net, no matter what kind of connection they have. While tools like Mosaic for the World Wide Web offer a more attractive hypermedia interface, Gopher prevails because it is based on the lowest common denominator, ASCII text.

Another attractive feature of Gopher is its structure, a series of menu choices that lead to either actual information files or more choices. The user is able to navigate up or down through the menus with a single key. Once the user accesses a document, the document can be saved, printed, or e-mailed. Gopher also offers a single interface, and all Gophers look alike. The commands are the same no matter whose information resource is being accessed. Another strong attribute of Gopher is seamlessness. When accessing a Gopher server, the user is unaware whether the files reside on a particular computer or are available by virtue of links embedded in the Gopher structure that connect to other computer hosts. In addition, Gopher serves as a "front end" to many of the services available on the Internet, such as wais, ftp, telnet, and phone book searches. What makes individual Gophers distinct is the way information is presented. All in all, Gopher is one of the most popular applications on the Internet with over 4,200 registered sites.

The new ARL Gopher currently offers basic text with plans to implement search capabilities in the near future. The structure of the ARL Gopher is derived from the objectives and capabilities articulated by the Association. Although not all areas are currently represented, more information will be added in the coming months.

The Main Menu (or introductory screen) for the ARL Gopher includes choices for Association of Research Libraries, Scholarly Communication, Information Policy, and Access to Research Resources and Technology. In the future, the categories will expand to cover other ARL programs, including: Research Collections, Preservation, Diversity, Management and OMS, and Statistics and Measurements. The Main Menu also offers a choice for other Gopher servers, which includes a link to "all the Gophers in the world" through the University of Minnesota, which maintains a registry for all active Gophers on the Internet.

By choosing Association of Research Libraries from the Main Menu, users are presented with choices for general information about ARL, which includes the mission statement, program profiles, the ARL Calendar, the OMS Training Schedule, and a membership list. Also included in this area is information about ARL publications and how to order them.

Within the directory for "Scholarly Communications," the browser can find: "Scholarly Communication, Academic Libraries, Technology," a discussion paper contributed by The Andrew W. Mellon Foundation; *University Libraries and Scholarly Communication*, the Mellon study of university library trends and transformations; and selected papers from the 1993 ARL/AAUP Electronic Symposium, *Gateways, Gatekeepers, and Roles in the Information Omniverse*. Another area of Scholarly Communications that will be cross-referenced with Information Policy is Copyright. The copyright policies of two schools (University of Texas and Wellesley College) are online. Additional important resources include a working copy of Ken Crews' paper "Copyright Law, Libraries, and Universities: Overview, Recent Developments, and Future Issues," papers relating to the 1992 court decision in *American Geophysical Union v. Texaco, Inc.*, a Copyright FAQ, and Sections 107 (Fair Use) and 108 (libraries) of the U.S. 1976 Copyright Act.

"Access to Research Resources" includes a set of documents relating to Interlibrary Loan and Document Delivery. Through the NAILDD Project (North American Interlibrary Loan & Document Delivery), ARL has developed information to help improve the delivery of library materials to users at costs that are sustainable for libraries. Among the documents available are working papers about system design issues, summary descriptions of management and financial systems, and information on the Project's Developers/Implementors Group (DIG).

Users are finding the ARL Gopher. In a two-week period in March, over 670 host computers made more than 5,650 connections to ARL. While there seemed to be about equal interest in all areas, about 10% of the data accesses were to Access to Research Resources, 7% to Scholarly Communication, and 7.8% to the general information on ARL.

Mogge plans to expand the Gopher and welcomes suggestions on what should be included. To visit the ARL Gopher, point your Gopher client to: arl.cni.org. If your host machine does not have a Gopher client available, telnet to one of the public Gopher sites (e.g., University of Minnesota at consultant.micro.umn.edu) and log in as Gopher. —*Dru Mogge*

REPORT ON LATIN AMERICANIST LIBRARY RESOURCES PUBLISHED

ARL has published an assessment of the impact of federal and foundation support for Latin American library resources. The assessment highlights the significant progress in providing machine-readable access to bibliographic records in Latin American studies in North American research libraries. In contrast to the almost ubiquitous bibliographic control, the report underscores that, so far, preservation reformatting has saved only a small portion of Latin American imprints.

The report was prepared by Dr. Dan C. Hazen, Selector for Latin America, Spain, and Portugal in the Harvard College Library while serving as an ARL Visiting Program Officer.

The Bibliographic Control and Preservation of Latin Americanist Library Resources: A Status Report with Suggestions, is available from ARL for $20. Price includes library rate postage. Send information requests and prepaid orders to ARL Publications, Dept. #0692, Washington, DC 20073-0692.

ARL AWARDED GRANT TO REVISE PRESERVATION MICROFILMING GUIDE

ARL has been awarded a grant of $8,000 from OCLC Online Computer Library Center, Inc., for the revision and preparation of the second edition of *Preservation Microfilming: A Guide for Librarians and Archivists*. The guide was prepared for ARL in 1987 by a group of preservation experts. Immediately upon its publication, it was recognized as an excellent preservation resource, and it continues to be cited as one of two core texts in preservation microfilming. Awarded the Waldo Gifford Leland Prize at the 1988 Society of American Archivists Annual Meeting, the guide has been relied on as a teaching and training tool by many librarians and organizations.

In early 1993 the guide became out-of-print, and this presents the opportunity to prepare an updated edition. Since 1987, the field of preservation microfilming has advanced substantially. The new edition will update information on standards as well as on technical improvements in preservation microfilming. It will also reflect the growth and diversity of cooperative preservation microfilming projects. ARL, working with ALA Publishing, will be assisted by an advisory committee of six preservation experts. Staff at Preservation Resources (formerly MAPS–The MicrogrAphic Preservation Service) will provide technical support. Final preparation for production and printing will be the responsibility of ALA Publishing. The goal is to publish the new edition in spring 1995.

DELMAS FOUNDATION SUPPORTS ARL MINORITY RECRUITMENT CAPABILITY

The Gladys Krieble Delmas Foundation has made a generous $30,000 grant to ARL "to support increased participation of minorities in humanities scholarship and to foster understanding in the increasingly diverse community of research libraries."

The award was announced following the establishment of ARL's ongoing minority recruitment capability, which will work with academic and research libraries in developing strategies for the recruitment and retention of minorities. Central to the new minority recruitment capability is development of a five-year initiative that will evolve from the work of the first year. Together with funds provided by ARL member libraries, the Delmas grant will support this program for its initial year.

In January 1994, Kriza Jennings, previously part-time diversity consultant to OMS, became ARL Program Officer for Diversity and Minority Recruitment. Her work will focus on building cooperative programs between ARL libraries, graduate library education programs, library associations, and other libraries to promote minority student awareness of the opportunities presented by research library careers and to support their academic success.

TRANSITIONS

Massachusetts: Richard Talbot is on sabbatical leave through August; Gordon E. Fretwell, senior associate director, will serve as acting director of libraries.
Wayne State: Peter Spyers-Duran has announced his intention to retire as Dean of Libraries and the Library and Information Science Program in 1994.

***

American Council of Learned Societies: Douglas C. Bennett will assume the Vice Presidency in July 1994. He currently serves as Executive Director of the Portland Area Library System (PORTALS) and is a Fellow of the Center for the Humanities at Oregon State University.
ARL: Patricia Brennan was appointed ARL Information Services Coordinator effective May 1.

HONORS

California at Berkeley: Dorothy Gregor has been awarded the Hugh C. Atkinson Memorial Award for outstanding achievement in library automation and management.

Georgia Tech: Miriam Drake, Dean and director of libraries, was awarded an honorary doctor of humane letters by Indiana University for her dedication to library scholarship. She was recognized for integrating computers and automation into academic libraries.

Texas A&M: Irene Hoadley, director of the Library Capitol Campaign, has been named ACRL's 1994 Academic/Research Librarian of the Year.

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ARL CALENDAR 1994

June 2-3	CAUSE/CNI Regional Conference Networked Information Access and Delivery: An Update for Computing Professionals and Librarians Philadelphia, PA
June 23-30	American Library Association Miami, FL
July 18-19	**ARL Board Meeting** **Washington, DC**
August 5-7	Black Caucus of the American Library Association "Culture Keepers II: Unity Through Diversity" Milwaukee, WI
October 18-21	**ARL Board and Membership Meeting** **Washington, DC**
November 5-7	Making the Future Work Today OSAP Symposium IV Washington, DC
November 29-30	Coalition for Networked Information Fall Task Force Meeting Orlando, FL
November 29-December 2	CAUSE 94 Orlando, FL

OMS WORKSHOPS PRE-ALA

The Office of Management Services will offer two pre-conference workshops at the ALA Conference in Miami this summer.

- **Transforming Culture: Creating a Learning Organization** will be offered June 24. The trainers will be Maureen Sullivan, OMS Organizational Development Consultant, and Shelley Phipps, Assistant Dean for Team Facilitation at the University of Arizona.
- **Planning for Resource Sharing: Optimizing the Potential of Library Partnerships** will be offered June 24. The trainers will be George Soete and Jack Siggins, OMS Adjunct Trainers.

To register or for more information, contact Gloria Haws, Training Program Assistant, at 202/296-8656.

Mike
Don
Eric
Richard

Marilyn
Jane
~~Joan~~
Janet
Sue

Nancy
MaryBeth
Carol
Robin
ERIC Carter

A BIMONTHLY NEWSLETTER OF RESEARCH LIBRARY ISSUES AND ACTIONS

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Current Issues

AFFIRMING THE RIGHTS AND RESPONSIBILITIES OF THE RESEARCH LIBRARY COMMUNITY IN THE AREA OF COPYRIGHT

The genius of United States copyright law is that it balances the intellectual property rights of authors, publishers, and copyright owners with society's need for the free exchange of ideas. Taken together, fair use and other public rights to utilize copyrighted works, as established in the Copyright Act of 1976, constitute indispensable legal doctrines for promoting the dissemination of knowledge, while ensuring authors, publishers, and copyright owners protection of their creative works and economic investments. The preservation and continuation of these balanced rights in an electronic environment are essential to the free flow of information and to the development of an information infrastructure that serves the public interest.

> "The primary objective of copyright is not to reward the labour of authors, but [t]o promote the Progress of Science and useful Arts. To this end, copyright assures authors the right to their original expression, but encourages others to build freely upon the ideas and information conveyed by a work. This result is neither unfair nor unfortunate. It is the means by which copyright advances the progress of science and art."
>
> —Justice Sandra Day O'Connor,
> *Feist Publications Inc. v. Rural Telephone Service Co.*
> (March 27, 1991)

The U.S. and Canada have adopted very different approaches to intellectual property and copyright issues. For example, the Canadian Copyright Act does not contain the special considerations for library and educational use found in the U.S. Copyright Act of 1976, nor does it place federal or provincial government works in the public domain. Because of these differences, this statement addresses these issues from the U.S. perspective.

Each year, millions of researchers, students, and members of the public benefit from access to library collections — access that is supported by fair use, the right of libraries to reproduce materials under certain circumstances, and other related provisions of the copyright law. These provisions are limitations on the rights of copyright owners. The loss of these provisions in the emerging information infrastructure would greatly harm scholarship, teaching, and the operations of a free society. Fair use, the library, and other relevant provisions must be preserved so that copyright ownership does not become an absolute monopoly over the distribution of and access to copyrighted information. In an electronic environment, this could mean that information resources are accessible only to those who are able to pay. The public information systems that libraries have developed would be replaced by commercial information vendors. In the age of information, a diminished scope of public rights would lead to an increasingly polarized society of information haves and have-nots.

Librarians and educators have every reason to encourage full and good-faith copyright compliance. Technological advancement has made copyright infringement easier to accomplish, but no less illegal. Authors, publishers, copyright owners, and librarians are integral parts of the system of scholarly communication, and publishers, authors, and copyright owners are the natural partners of education and research. The continuation of fair use, the library and other relevant provisions of the Copyright Act of 1976 applied in an electronic environment offer the prospect of better library services, better teaching, and better research, without impairing the market for copyrighted materials.

Although the emerging information infrastructure is raising awareness of technological changes that pose challenges to copyright systems, the potential impact of technology was anticipated by the passage of the Copyright Act of 1976. Congress expressly intended that the revised copyright law would apply to all types of media. With few exceptions, the protections and provisions of the copyright statute are as relevant and applicable to an electronic environment as they are to a print and broadcast environment.

The research library community believes that the development of an information infrastructure does not require a major revision of copyright law at this time. In general, the stakeholders affected by intellectual property law continue to be well served by the existing copyright statute. Just as was intended, the law's flexibility with regard to dissemination media fosters change and experimentation in educational and research communication. Some specific legislative changes may be needed to ensure that libraries are able to utilize the latest technology to provide continued and effective access to information and to preserve knowledge.

The Association of Research Libraries affirms the following intellectual property principles as they apply to librarians, teachers, researchers, and other information mediators and consumers. We join our national leaders in the determination to develop a policy framework for the emerging information infrastructure that strengthens the Constitutional purpose of copyright law to advance science and the useful arts.

STATEMENT OF PRINCIPLES

Principle 1: Copyright exists for the public good.

The United States copyright law is founded on a Constitutional provision intended to "promote the progress of Science and Useful Arts." The fundamental purpose of copyright is to serve the public interest by encouraging the advancement of knowledge through a system of exclusive but limited rights for authors and copyright owners. Fair use and other public rights to utilize copyrighted works, specifically and intentionally included in the 1976 revision of the law, provide the essential balance between the rights of authors, publishers and copyright owners, and society's interest in the free exchange of ideas.

Principle 2: Fair use, the library, and other relevant provisions of the Copyright Act of 1976 must be preserved in the development of the emerging information infrastructure.

Fair use and other relevant provisions are the essential means by which teachers teach, students learn, and researchers advance knowledge. The Copyright Act of 1976 defines intellectual property principles in a way that is independent of the form of publication or distribution. These provisions apply to all formats and are essential to modern library and information services.

Principle 3: As trustees of the rapidly growing record of human knowledge, libraries and archives must have full use of technology in order to preserve our heritage of scholarship and research.

Digital works of enduring value need to be preserved just as printed works have long been preserved by research libraries. Archival responsibilities have traditionally been undertaken by libraries because publishers and database producers have generally preserved particular knowledge only as long as it has economic value in the marketplace. As with other formats, the preservation of electronic information will be the responsibility of libraries and they will continue to perform this important societal role.

The policy framework of the emerging information infrastructure must provide for the archiving of electronic materials by research libraries to maintain permanent collections and environments for public access. Accomplishing this goal will require strengthening the library provisions of the copyright law to allow preservation activities that use electronic or other appropriate technologies as they emerge.

Principle 4: Licensing agreements should not be allowed to abrogate the fair use and library provisions authorized in the copyright statute.

Licenses may define the rights and privileges of the contracting parties differently than those defined by the Copyright Act of 1976. But licenses and contracts should not negate fair use and the public right to utilize copyrighted works. The research library community recognizes that there will be a variety of payment methods for the purchase of copyrighted materials in electronic formats, just as there are differing contractual agreements for acquiring printed information. The research library community is committed to working with publishers and database producers to develop model agreements that deploy licenses that do not contract around fair use or other copyright provisions.

Principle 5: Librarians and educators have an obligation to educate information users about their rights and responsibilities under intellectual property law.

Institutions of learning must continue to employ policies and procedures that encourage copyright compliance. For example, the Copyright Act of 1976 required the posting of copyright notices on photocopy equipment. This practice should be updated to other technologies that permit the duplication of copyrighted works.

Principle 6: Copyright should not be applied to U.S. government information.

The Copyright Act of 1976 prohibits copyright of U.S. government works. Only under selected circumstances has Congress granted limited exceptions to this policy. The Copyright Act of 1976 is one of several laws that support a fundamental principle of democratic government — that the open exchange of public information is essential to the functioning of a free and open society. U.S. government information should remain in the public domain, free of copyright or copyright-like restrictions.

Principle 7: The information infrastructure must permit authors to be compensated for the success of their creative works, and copyright owners must have an opportunity for a fair return on their investment.

The research library community affirms that the distribution of copyrighted information that exceeds fair use and the enumerated limitations of the law require the permission of and/or compensation to authors, publishers, and copyright owners. The continuation of library provisions and fair use in an electronic environment has far greater potential to promote the sale of copyrighted materials than to substitute for purchase. There is every reason to believe that the increasing demand for and use of copyrighted works fostered by new information technologies will result in the equivalent or even greater compensation for authors, publishers, and copyright owners. The information infrastructure, however, must be based on an underlying ethos of abundance rather than scarcity. With such an approach, authors, copyright owners, and publishers will have a full range of new opportunities in an electronic information environment and libraries will be able to perform their roles as partners in promoting science and the useful arts.

Adopted by the ARL Membership, May 1994

AAU AND ARL ENDORSE ACTION AGENDA

The Association of American Universities (AAU) and ARL, at their respective membership meetings this spring, endorsed a common action agenda that emerged from the recently concluded Research Libraries Project. The project was initiated by the AAU member presidents and chancellors in April 1992 to engage a full range of university expertise around a set of issues affecting scholarly access to research library resources.

In making public the project reports and recommendations, AAU President Cornelius J. Pings noted "it was clear that the electronic environment was unlikely to evolve optimally to support the missions of universities unless universities themselves became directly involved in shaping the environment, designing options carefully, and pursuing their implementation systematically.

"The translation of recommendations into policies will be neither simple nor direct. Readers of these reports will note that although some recommendations are quite specific, many identify further questions to be answered, additional issues to be considered. I hope that the reports can serve as a catalyst to broad collaboration with the academic community — in this country, in North America, and internationally — on efforts to develop an electronic environment providing enhanced support for teaching and research."

The work of the Research Libraries Project was carried out through three task forces: Acquisitions and Distribution of Foreign Language and Area Studies Materials; A National Strategy for Managing Scientific and Technical Information; and Intellectual Property Rights in an Electronic Environment. The task forces, comprising university administrators, librarians, and faculty members, reported to a Project Steering Committee of AAU presidents and chancellors. AAU worked in close collaboration with ARL on the project, from its initial conception through its completion. Funding was provided by The Andrew W. Mellon Foundation.

Highlights of AAU–ARL Agenda

1. To improve access to and delivery of international research resources:

- develop a collaborative program where participating institutions share responsibility for collecting foreign imprint publications, and for distributing a "distributed North American collection of foreign materials" and
- implement the program initially with three demonstration projects targeted on research materials that originate in Latin America (Mexico and Argentina), Germany, and Japan.

2. To introduce more competition and cost-based pricing into the marketplace for scientific and technical information:

- encourage a mix of commercial and not-for-profit organizations to engage in *electronic* publication of the results of scientific research;
- promote establishment of a system of national *electronic* repositories for scientific research; and
- explore the feasibility of actions to mandate retention of the ownership of *certain* STI intellectual property in the not-for-profit sector.

3. To ensure that electronic networks and policies are in place to take full advantage of the technologies at hand, accommodate the demands of users for access to and delivery of distributed research collections, and support transformed methods of scholarly and scientific inquiry:

- ensure that the legal and regulatory framework for communications will support affordable higher education access to a structure of national and global information networks;
- promote funding to create and preserve digital research collections; and
- speed the completion and support of reliable network access for faculty, students, and other university users.

4. To build academic/research community consensus and bring other organizations into discussions of intellectual property in an electronic environment:

- form campus committees to create copyright policies for individual universities in two areas — Copying and Copyright Ownership — and
- form a coordinating group to coordinate, monitor, and disseminate results of the local actions and prepare reports in two vital, multi-institutional matters: Fair Use rights in an electronic environment and the feasibility of strengthening and creating competitive university- or society-based publishing outlets and positioning universities strategically for electronic publishing.

Each task force report emphasizes the importance of promoting the awareness and understanding of project findings among all constituencies in the university and research communities.

Implementation

The Andrew W. Mellon Foundation has announced support for the Latin Americanist demonstration project. (See notice on page 15.) In addition, a joint AAU–ARL implementation strategy for the full action agenda is under development.

Availability of Reports

With support from The Andrew W. Mellon Foundation, ARL published *Reports of the AAU Task Forces*. The 154-page book, containing all three reports as well as the recommendations endorsed by AAU and ARL, is priced to encourage multiple orders for campuswide and disciplinary society discussions. In July, the reports will also become available electronically via the ARL Gopher: arl.cni.org.

The paperback *Reports of the AAU Task Forces* is available prepaid from ARL by check or telephone credit card orders (Visa or Mastercard) from: ARL Publications, Department #0692, Washington, DC 20073-0692. Telephone: (202) 296-2296. Fax: (202) 872-0884. Email: OSAP@cni.org. Single copies are $16 each (includes shipping and handling). The price drops to $9 each for orders of 6-10 copies; to $6 each for 11 or more copies. For multiple-copy orders and international destinations, a shipping and handling charge is additional. Contact ARL for details.

Supply and Demand in ARL Libraries

by Martha Kyrillidou and Kendon Stubbs

The population of faculty and students served by ARL institutions is increasing, the demands on resource sharing services are skyrocketing, while at the same time on-site material resources, as measured by the numbers of serial subscriptions and monographs purchased, are declining. The accompanying graph represents these trends in the median ARL library by showing the percent changes since 1986.

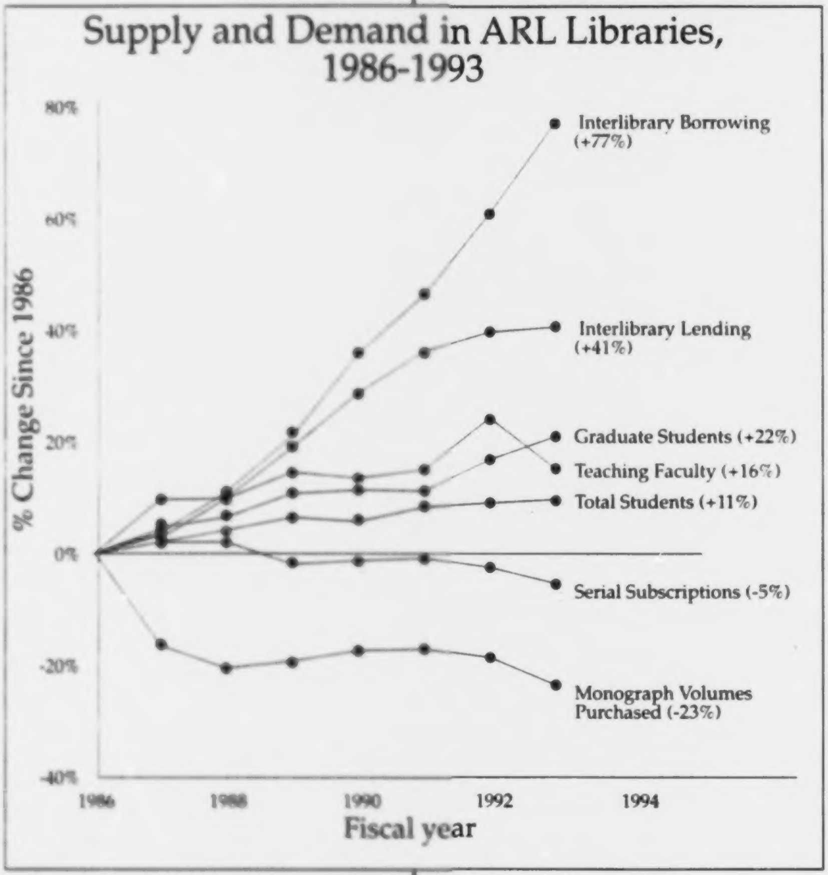
There was an increase of 22% in graduate students, 11% in total student population and 16% in teaching faculty. For 1993, ARL statistics on 103[1] academic institutions show a graduate student body of a little less than 450,000, which represents almost one-fourth of the total student body (approximately two million) served by these institutions. That is about 14 students, or nearly three graduate students, per faculty member.

ARL libraries purchased fewer monographs and serials in 1993 than in 1986. The median ARL library bought 33,210 monographs and 16,198 serials in 1986 but only 25,583 monographs and 15,463 serials in 1993.[2]

Whether because of economic necessity and tightening resource budgets or because of increased effectiveness in providing interlibrary services, resource sharing activities have increased rapidly. For the 106 libraries reporting ILL statistics since 1986, borrowing rose from just under a million transactions to 1.4 million, or an increase of around 500,000. At the same time, for the same libraries, lending rose from 2.4 million to 3.1 million, an increase of 700,000. The rise in lending was more than enough for ARL libraries to accommodate the increase in ARL borrowing and still provide at least 200,000 lending transactions to non-ARL libraries.

Comparing ARL to the national (IPEDS) data for all U.S. academic libraries in 1988 and 1990 shows that ARL U.S. academic libraries accounted for about two of every five lending transactions in 1988 and 1990. Also, one out of every four academic borrowing transactions was by an ARL library. For both years for which IPEDS data are available, U.S. ARL lending was 42% of the national output. U.S. ARL borrowing was 26% and 28% of the national output in 1988 and 1990 respectively.[3] Without the 1992 IPEDS data available yet, it is premature to draw any conclusion about trends in ARL institution borrowing transactions compared to non-ARL institutions.

For all U.S. academic libraries lending rose 18% from 1988 to 1990, and borrowing rose 14%. For U.S. ARL libraries alone lending rose 16%, and borrowing rose 24%. It appears that non-ARL lending may have risen at a faster rate than ARL lending, and the opposite for borrowing. But 1988-1990 is too short a period to discern any definite trends.


Supply and Demand in ARL Libraries, 1986-1993

Relationships Among Variables

The accompanying graph simply shows how the median ARL library is changing. The graph does not report whether changes in any variable are associated with changes in any other variable. In an effort to explore such a relationship, we examined the correlation between borrowing and lending.

Since 1987 the correlation between the number of items a library loans and the number of items it borrows has weakened. In 1993, only 8% of the variance in borrowing can be explained by the variance in lending as opposed to 22% in 1986. Although the correlation is becoming weaker, it is still statistically significant. This means that big lenders may still be big borrowers, but this relation is gradually eroding.[4]

To increase our understanding of the factors affecting the relations among the variables in the supply and demand chart we need to study the environment of ARL libraries. For example, environmental factors affecting resource sharing may be consortial arrangements, increased availability of electronic resources, improved ILL effectiveness, increased demands from the user population, etc. Policy decisions to provide no-fee ILL or document delivery to some or all users or to create a unit for resource sharing services are also likely contributing factors.

The dramatic changes in research libraries underscore the need for further analysis of the data and for collection of additional information on research libraries. Such an effort could help inform decisions about how research libraries organize, manage, and develop resources to meet and exceed the expectations of an ever-increasing community of educators, researchers, and scholars.

Martha Kyrillidou is Program Officer for Statistics and Measurement, ARL; Kendon Stubbs is Associate University Librarian, University of Virginia, and consultant to ARL.

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[1] 12 Canadian, 29 U.S. private, and 62 U.S. state-supported institutions.

[2] These are medians of the libraries that did not have any missing data in 1986 and 1993. The published medians in the ARL statistics differ somewhat from these medians because the published ones are based on a different sample.

[3] U.S. ARL academic lending was 2,349,966 and 2,736,198 in 1988 and 1990 respectively, whereas IPEDS lending was 5,590,321 and 6,596,111 for the same years. U.S. ARL academic borrowing was 950,508 and 1,181,403 in 1988 and 1990 respectively, whereas IPEDS borrowing was 3,672,852 and 4,199,269 for the same years.

[4] In 1986, $r = .47^{**}$; 1987, $r = .55^{**}$; 1988, $r = .55^{**}$; 1989, $r = .50^{**}$; 1990, $r = .47^{**}$; 1991, $r = .43^{**}$; 1992, $r = .30^{**}$; 1993, $r = .29^{*}$; where ** $p < .001$ and * $p < .01$. The percent of variance is r^2.

ELECTRONIC SERIAL SITES: COLLECTIONS, RESOURCES, AND SERVICES ON THE NETWORKS

by Birdie MacLennan, University of Vermont

As the Internet continues to evolve and its networking technologies unfold, electronic serial publications continue to proliferate at an extraordinary rate. Increasingly, libraries and other organizations have begun to take advantage of new and emerging technologies to offer access to the wealth of electronic serials and many other related services. While some sites systematically collect, store, and archive e-serials on their local systems, others are able to make collections or systems development decisions based on already existing Internet resources that pertain to serials.

The obvious advantage of such an abundance of resources is that people looking for information about electronic serials no longer need to subscribe to each title individually nor do they need to know the address of an elusive or obscure archive or ftp site to find sample issues. Instead, they can use the power and organizing support capabilities of Gopher or WWW to locate titles and discover new and innovative ways in which serials are being collected and organized at a number of sites emerging as comprehensive holdings locations.

The downside is that, as the number of electronic serial collections and related resources and services is growing very rapidly, the size, scope, presentation, and level of organization for materials and services that are offered varies greatly according to the level(s) of staff and attention given to maintaining each individual site. Because electronic serials are a relatively new medium and the networking technologies that produce and accommodate them are still emerging, very few standards exist for storage and archiving. There is no central or authoritative source to look to for guidelines in presentation or access.

Presumably, as the medium comes of age, cooperative efforts among producers and providers of this information will ensure the development of some much-needed standards for storage and access to electronic serial literatures. Until that time, variance reigns, often with some loss in accessibility.

Included below is a listing that represents a random — and, by no means, exhaustive — sampling of noteworthy sites that were surveyed for their electronic serial collections and resources.

Major Academic/Research Gopher Sites

CICNet
Address: gopher.cic.net (port 70)
Path: /Electronic Serials

The CICNet Gopher contains archives for more than 700 electronic serial titles, organized alphabetically by title and by 25 broad subject categories. CICNet's holdings are designed to be a comprehensive collection of all public domain electronic journals available on the Internet. The project was originally conceived by the Library Collection Development Officers of the CIC universities in 1992 and developed further by the CICNet Network Information Resources Committee. The CICNet archives are not pretty and not always up-to-date. But their scope is all-encompassing and the level of organization is just enough so that one can find specific titles, get a sense of the range of titles in a given subject area, or find information about where to look for the original source of a title in question.

Library of Congress (LC Marvel)
Address: marvel.loc.gov (port 70)

The Library of Congress Gopher, more commonly known as LC Marvel, offers an innovative array of sources and services pertaining to electronic serials — some of which have been developed (or are in the process of development) at the Library of Congress. Others are links to sources and services that are maintained at remote sites. LC Marvel is well-maintained and in a constant state of development and evolution, with changes, updates, and new resources being added regularly. Try selecting the "Search LC MARVEL Menus" item from the opening Gopher screen. From there, users can formulate search queries tailored to their particular needs.

North Carolina State University (NCSU) Library Gopher
Address: dewey.lib.nscu.edu (port 70)
Path: /NCSU's "Library Without Walls"

The North Carolina State University (NCSU) Library Gopher offers access to 25 electronic journals and newsletters, which are systematically collected, stored, and, in many cases, indexed at NCSU. The site also contains links to a number of other e-serials at remote sites. Archives for approximately 50+ serials "pertinent to the information needs of the students, faculty, and staff of North Carolina State University" can be found on the NCSU gopher. What stands out about the collection is not so much its volume or size as the way it is organized (both by title and subject category) and the enhanced level of access, via WAIS indexes for many of the titles.

SUNY College of Agriculture & Technology, Morrisville, NY
Address: snymorvb.cs.snymor.edu (port 70)
Path: /Library Services/Electronic Journals

The SUNY Morrisville Gopher contains links to approximately 250 electronic journal archives. Morrisville's individual title archives vary greatly in quality and consistency — ranging from orderly and complete backfiles with WAIS indexed search capabilities to scant abbreviations or acronyms and incomplete back files. Although not the most comprehensive or orderly e-journal site, the Morrisville collection is notable for its size, scope, and serendipitous browsability.

University of Bath: Bulletin Board for Libraries (BUBL)
Address: ukoln.bath.ac.uk (port 7070)
The Bulletin Board for Libraries (BUBL) on the University of Bath's UKOLN (Office for Library and Information Networking) Gopher server combines the best of all possible worlds in offering an abundant array of Internet sources and innovative options for organizing, presenting, and accessing them. In addition to alphabetical menu listings, the comprehensive UDC (Universal Decimal Classification) scheme provides access to resources by 62 subject classes and subclasses. The cross-referencing or cross-linking structure of interdisciplinary titles and resources is generous.

University of California at Santa Barbara: InfoSurf, the Davidson Library Gopher
Address: uscbuxa.ucsb.edu (port 3001)
The University of California at Santa Barbara's InfoSurf Gopher features a menu item for "Electronic Journals" prominently in the opening screen if the port is included in the address. This selection offers access to more than 75 journals and newsletters across a wide range of disciplines. While many of the titles are offered by way of links to remote sites, a number of titles are archived and maintained at UCSB.

University of California, Santa Cruz: InfoSlug System
Address: gopher.ucsc.edu (port 70) or: scilibx.ucsc.edu (port 70)
Path: /The Library
The majority of journal archives and services are located in the "Library" menu, off the opening Gopher screen. The "Electronic Journals" sub-menu includes an alphabetical listing of 83 titles. The titles can also be browsed by 15 subject categories (science, mathematics, business, humanities, etc.) in the "Subject Collections" directory. Also offered are links to a number of other sites with notable e-journal collections and a tantalizing index of more than 400 full-text journals offered through the Melvyl system but restricted, by licensing agreements, to University of California students and employees.

University of Waterloo (UWinfo)
Address: uwinfo.uwaterloo.ca
The University of Waterloo (UW) Gopher, also known as UWinfo, provides a multitude of paths for access to electronic serial collections. Offerings include a directory, "Electronic Journals," which includes 38 titles presented on the UW server, primarily via links to remote sites (although one or two titles appeared to be archived at UW) as well as a menu option that links directly to the CICNet electronic serial collection.

Australian National University Library
Address: info.anu.edu.au (port 70)
Path: /The Electronic Library/Periodicals
The "Periodicals" menu is particularly strong on offerings in Australian publications, with 14 titles listed in the directory "Australian electronic serials" and seven titles listed in the directory "Australian National University distributed electronic serials."

Other Interesting Sites

America Online (AOL)
Address: info@aol.com (send an email request for information; note that special AOL software is needed to access this service and is available free of charge).

Users can find (among many other things) full text articles of general, popular, and special interest magazines and newspapers by pointing and clicking through various icons, menus, and screens. Broad subject categories, disguised as icons, include: News and Finance, People, Lifestyles, Games, Learning & Reference, Travel & Shopping, Computing & Software. Magazine and newspaper titles and full text articles, retrieved by clicking on these various categories, include: *Atlantic Monthly, Barrons, National Geographic, Omni, Saturday Review, Time*, and the *Chicago Tribune*. The *New York Times* is scheduled to be included among these offerings in the near future.

CSCNS (Colorado Springs Community News Service) Gopher
Address: cscns.com (port 70)
CNS contains links to several major electronic serial sites: CICNet, North Carolina State University, the University of California at Santa Barbara, Electronic Newsstand, and the Cleveland Public Library. It also includes archives and/or keyword indexes to many individual titles within the various subject categories. E-serials across a wide range of academic disciplines and special interests as well as many of the mainstream publishers' popular titles (via Electronic Newsstand) can be accessed through CNS.

Electronic Newsstand Gopher
Address: gopher.internet.com (port 2100)
The Electronic Newsstand (Enews) began as joint project of the Internet Company, a provider of commercial network services, and *The New Republic*. Since its inception in 1993, a growing number of U.S. and international publishers have joined Enews in offering access to their magazines' tables of contents and selected, full-text feature articles and editorials.

Archives for more than 80 popular and special interest, business, technology, academic, etc., magazines are arranged alphabetically by title and by subject in two separate directories off the opening Gopher screen. Archives do not go beyond July 1993, when the Electronic Newsstand was first started.

This article is abridged from the frontmatter in the recently published Directory of Electronic Journals, Newsletters, and Academic Discussion Lists, *4th Edition.*

COALITION FOR NETWORKED INFORMATION

Paul Evan Peters, Executive Director

SPRING TASK FORCE MEETING

The Coalition for Networked Information's Spring Task Force Meeting was held at the Loews L'enfant Plaza Hotel in Washington, DC, on April 5-6 and was attended by 392 individuals. The meeting, whose theme was "Advances in Networked Information Technologies," served to highlight some of the significant developments in applications that will provide enhanced capabilities to use and manage networked information. In addition, the meeting provided a framework for understanding and analyzing National Information Infrastructure (NII) developments at the national and state levels. The meeting included plenary sessions, project briefings, synergy sessions, and working group meetings. One of the plenary sessions is highlighted below.

Advances in Internet Intellectual Property Systems

Paul Evan Peters noted that each of the last three Task Force Meetings have included a plenary session on some aspect of intellectual property management of networked information resources. The session at this spring meeting explored the technological capabilities for managing Internet intellectual property as developed by four initiatives.

Case Western Reserve: Permissions Manager Project
James Barker, Project Director, Library Collection Services, Case Western Reserve University (CWRU), opened the panel with a description of the Permissions Manager project, which was initiated in 1990. He described how the project was developed in response to the University President's desire to establish a new electronic learning environment on campus, including a mandate to make information resources available to students in whatever format they desired and wherever they wanted it.

The overall project perspective is to examine issues around how to manage digital materials and to understand the environment and the market. Currently they have projects in the performing arts; art and art history; paleography; engineering; law; and health sciences. They capture and catalog materials; deal with copyright and royalty management of intellectual property; and demonstrate some academic value of having digital information available.

Permissions Manager is a client-server application designed to maintain and manage security, copyright, royalty, and permission provisions for intellectual property. Its functions include: encoding usage agreements, managing access to materials, recording usage data, producing usage reports, creating billing/compensation reports, and protecting patron privacy rights. The project will help CWRU understand what their cost models should be. Each piece of intellectual property is divided into individual elements that can be separately managed or can be managed together; each element may have separate rules (downloadable, readable, etc.).

In response to questions, Barker commented that the granularity of their approach is partly dictated by the nature of the materials, especially in the humanities, where they are working with anthologies of many authors and that include visual materials. He noted that they try to embrace fair use principles and press publishers to license their materials as "library copies" rather than as course-adopted texts. At times this results in more than one CWRU license for a particular material.

Columbia: JANUS Digital Library Project
Willem Scholten, Director of Computer Science and Research, Columbia University School of Law and Future Info Systems, discussed intellectual property management and the JANUS Digital Library project. JANUS is the effort to build a digital library environment for Columbia University. The project is looking not only at technology but at a philosophy of using digital materials.

The developers of JANUS think of digital libraries as complex systems with building blocks; e.g., storage functions, intellectual property control functions, billing mechanisms, an information retrieval facility, a collection building function, an administration function, and a user interface. In the project, users are the primary concern. The JANUS project will build tools to deal with a new paradigm, which is based on collaborative knowledge management. Digital libraries could become the basis for teaching and learning systems, building multi-media tools for learning. The user would interact with the digital library system through a set of tools; e.g., learning tools, simulation tools, interactive assistance tools, collaborative tools, and remote sensing database tools.

Scholten discussed the current system of copyright and fair use in terms of rights of individuals and libraries. He feels there will be a shift from an emphasis on guaranteeing the rights of an author to royalties to ensuring an author's rights to credit for his/her publications. In the transformation, he feels we will move from the competitive environment of the present to a cooperative system and eventually to a collaborative environment. He concluded that we need to build intellectual property management systems based on the collaborative model.

Carnegie Mellon: NetBill and ELIXIR Project
Marvin Sirbu, Professor of Engineering and Public Policy, Carnegie Mellon University (CMU), described his NetBill project in the context of intellectual property and electronic commerce. He indicated that commercial

users are a growing portion of the rapidly expanding Internet population. To facilitate commerce in the electronic environment, his team conceived of NetBill, an electronic credit system to enable network-based commerce. Currently, there is no generalized Internet billing capability that can support a number of providers. The business model is one in which consumers establish an account with NetBill and businesses sign up for service with NetBill. For service providers, it provides easy access to account holders, provides a mechanism for reimbursement for small transaction fees, eliminates credit risk, offloads account management and collections, and provides support for flexible pricing. For consumers, a NetBill account provides access to many service providers, the convenience of a consolidated invoice, assurance that service providers can't use the individual's account to defraud, and access control; e.g., control of a child's access to material. NetBill provides such features as authentication, credit checking, access control, and transaction recording and receipt.

Sirbu provided a number of research issues identified in the project: authentication, non-repudiatable transactions, user interface design, scalability, reliability and availability, protection of privacy, auditability, standards, flexible support for alternative pricing models, economics of information markets, and changes in patterns of information use.

At this point, the project team has built three generations of billing server prototypes. All have support for file transfer service and electronic digital library service. The first trial will be internal to CMU. External trials are planned in conjunction with the part of the ELIXIR Digital Library Project that includes commercially provided journal articles and in conjunction with MIT. They are also planning a Mosaic and WWW trial. Eventually, NetBill service provision will make a transition to a commercial financial services firm.

Corporation for National Research Initiatives

John Garrett, Director, Information Resources, Corporation for National Research Initiatives (CNRI), noted that his organization has been working on intellectual property management in the electronic environment for many years. He stated that for the systems that they are working with, fundamental requirements of an electronic copyright management system (ECMS) are that it must support thousands of libraries, thousands of rightsholders, billions of documents, millions of transactions, and millions of users. The ECMS must be fast and easy to use, seamless and invisible to the user, ubiquitous and inclusive, and responsive to users and owners.

CNRI is working with the Copyright Office of the Library of Congress on a project that will enable registration of a digital work over the network. As part of the project, they are:

- exploring architectural models for managing intellectual property in a network environment,
- developing techniques for handling electronic rights and permissions,
- demonstrating integrated distributed systems for automated management of copyright,
- obtaining hands-on experience with electronic copyright management in the network environment, and
- working together with interested parties in the intellectual property community to understand issues and requirements.

CNRI is also conducting research on linking electronic libraries. Their project involving Cornell, CMU, MIT, Stanford, UC Berkeley, CNRI, ARPA, and the Library of Congress is experimenting with linking digital libraries of technical reports. Garrett stressed that they are finding that difficult questions will only be identified and solved by building and running actual systems. They are working on things they never thought would be problems before they began actual implementation of a system.

Additional Information

Many documents from the Spring 1994 Task Force Meeting are currently available on the Coalition Internet server, which is accessible by FTP, Gopher, and NCSA Mosaic. These include handouts from Project Briefings and Synergy Sessions and discussion documents from Working Groups. The meeting report in the Coalition archive also will include photos taken at the meeting with a digital (Apple QuickTake) camera. Instructions for locating the directories are given below. In addition, audio tapes of plenary sessions are available for purchase.

via ftp

URL:ftp://ftp.cni.org/CNI/tf.meetings/1994a.spring/agenda.txt

URL:ftp://ftp.cni.org/CNI/tf.meetings/1994a.spring/agenda.Word.hqx

via Gopher (same documents as ftp)

URL:gopher://gopher.cni.org:70/0/cniftp/tfmeets/1994a.spring/agenda.txt

URL:gopher://gopher.cni.org:70/0/cniftp/tfmeets/1994a.spring/agenda.Word.hqx

URL:gopher://gopher.cni.org:70/11/cniftp/tfmeets/1994a.spring/proj.briefings

–Joan Lippincott

FEDERAL RELATIONS

Prudence S. Adler, Assistant Executive Director-Federal Relations and Information Policy

NRENAISSANCE REPORT CALLS FOR OPEN DATA NETWORK

On May 25, the National Research Council released *Realizing the Information Future: The Internet and Beyond*, a report prepared by the Committee on National Research and Education Network Issues. The committee, led by Leonard Kleinrock, chair of the computer science department at UCLA, chose to call itself NRENAISSANCE, reflecting a fundamental concern with the NREN program. The committee consisted primarily of scientists and engineers, with representation from the telecommunications and publishing industries as well as a librarian and a representative of the K-through-12 community. Susan K. Nutter, Director of Libraries at North Carolina State University, represented the library community.

The Vision of an Open Data Network

The committee believes that the appropriate future communications infrastructure for the nation will come into existence only if its development is guided by a continuing and overarching vision of its purpose and architecture. Described in terms of an Open Data Network, this open and extensible infrastructure is characterized by the following technical principles:

- Open to all users,
- Open to all service providers,
- Open to all network providers, and
- Open to change.

—*Realizing the Information Future*

Formed at the request of the National Science Foundation, the committee's discussion was structured around how the establishment of a national information infrastructure (NII) can best meet the needs and requirements of the research and education communities. The committee reviewed the potential for an NII based on three significant recent developments:

- the visibility of the federal government in promoting the NII;
- the growth of the Internet; and
- the recognition of the commercial potential of the NII by entertainment, cable, and television companies.

The report, focused on the needs of the research, education, and library communities, recommends a leadership role for the Department of Education and other government agencies. All findings and recommendations in the report relate an Open Data Network to the 25-year history and success of the Internet. At a press briefing, Mr. Kleinrock pointed out that "open networks work ... and lead to innovation, multiple usage and offer a wide range of services."

The report recommends an Open Data Network that would comprise a four-layer architecture offering multiple services. The four layers are the bearer service, transport, middleware, and the applications. The bearer service defines the features that must be implemented in the network to support higher levels of service. The transport layer defines the services that can be realized in the network and includes the elements that are familiar in networking today: fax, video, audio, etc. The middleware service layer incorporates "higher level functions that are used in common among a set of applications." These functions include file system support, privacy protection, authentication, and remote computer access services. This layer of the architecture could be sustained by governmental involvement. The uppermost layer, the applications layer, is the layer where users and the network interact. It is also from this layer where future applications will be developed.

The report stresses that a critical feature of this Open Data Network will be adaptability and ability to change. Continuous evolution in this arena is inevitable, and the report cautions that "[i]f standards are not devised to permit graceful and incremental upgrade, as well as backwards compatibility, the network is likely either to freeze in some state of evolution or to proceed in a series of potentially disruptive upheavals."

Government Role

Financing the NII will have to come from the private sector, the report acknowledges; however, achieving the full educational, scientific, and economic potential of an NII will require continued and, if possible, expanded governmental involvement. "The government cannot build the information superhighway or dictate the architecture for the national information infrastructure, but it can guide the development of a framework and of standards that will foster common interests and approaches among the many companies and institutions that will build the superhighway," Kleinrock said at the press conference.

The report recognizes that the research, education, and library (REL) community has been a pioneer in the networking arena and has demonstrated that the network's value grows as its size and diversity grows. However, the report also points out that, in order for the REL to continue in this leadership role, government agencies need to provide support and promote policies that ensure this community affordable access to the NII.

The challenge, according to Kleinrock, is to shape the architecture of the NII so that it balances the needs and interests of the various stakeholders.

The report *Realizing the Information Future* is published by the National Academy Press and is also available via gopher.nas.edu. —*Patricia Brennan*

ADMINISTRATION SEEKS COMMENT ON NII APPLICATIONS REPORT

Seeking to provide more definition to the Clinton-Gore NII agenda, the Committee on Applications and Technology (CAT) of the Information Infrastructure Task Force, released a draft report exploring applications in areas of libraries, electronic commerce, manufacturing, health care, and environmental monitoring. The draft, entitled *Putting the Information Infrastructure to Work*, seeks to "focus public debate on the uses of the NII and the benefits to be derived by applications of advanced computing and communications technologies."

The authors, or members of CAT, link the success of the NII to "the ability of digital libraries to store and share knowledge, history, and culture." There are common themes throughout all of the chapters, including issues relating to equity of access, the benefits of and need for demonstration or pilot projects, the standards-setting process, privacy and security issues, training and support or human resource issues, identification of R&D priorities, and performance measurements to assess public and private investments.

The draft chapter on libraries explores four themes in four parts: "What is the Application Arena?" (dealing with the current and future role of libraries), "Where Are We Now?" (examining levels of electronic access now), "Where Do We Want To Be?" (focusing on NII long-term goals and the role of libraries), and "How Are We Going To Get There?" (addressing the challenges we face in meeting our goals).

In Part I, the role of the library in the NII is seen as based on current practice — "to advocate and help provide information equity for the public," and "to coordinate and facilitate the preservation of the records and expressions of the nation's intellectual and cultural life." But it is envisioned that the operation and responsibilities of the library will change significantly including "relationships among libraries and their providers and users."

Part II presents a selected review of current applications both governmental and non-governmental, ongoing R&D relating to digital libraries and issues such as copyright, standards, security and privacy, and community-based projects such as the Blacksburg Electronic Village.

In Part III, the draft sets the long-term NII goal as "a world of ubiquitous information," and envisions the need for a new paradigm for commercial providers of information, libraries, and user communities in the evolving electronic community. The draft highlights the next steps that require addressing, many requiring federal support or a clear federal presence.

Of particular interest is Part IV which addresses how we achieve NII long-term goals. There is the recognition that

- federal funding of libraries and library programs is crucial during a time of transition and
- digital conversion issues or a focus on content is long overdue and merits consideration in both budgetary and legislative proposals such as LSCA.

The authors of the chapter note that "librarians have begun to explore the challenges presented by electronic materials and navigation tools," and "if libraries are to continue to perform the services currently provided, and at the same time, adopt technology that will make their participation in the NII a possibility, then a national plan to coordinate and supplement both the required efforts and funding is essential."

Putting the Information Infrastructure to Work is available via Gopher, iitf.doc.gov/Hot off the Press. The Administration seeks public comment and review of the draft report.

CAMPBELL TESTIFIES ON NEH

On May 9, Jerry Campbell, University Librarian, Duke University, testified in support of the National Endowment for the Humanities FY 1995 budget request on behalf of ARL, the Commission on Preservation and Access, and the National Humanities Alliance. In his remarks before Rep. Sidney Yates (D-IL and chair, Subcommittee on the Interior and Related Agencies), Mr. Campbell noted the leadership role of the NEH Division of Preservation and Access in supporting "the nationwide effort to preserve and provide access to endangered humanities resources" and the importance of fully funding the Division. He also advocated "that the humanities be well represented within the new National Information Infrastructure" and spoke of the new preservation challenges with the introduction and use of information technologies.

UPDATE

President Clinton recently signed into law P.L. 103-262, which enables the National Historical Publications and Records Commission (NHPRC) to continue to function as a grant-making authority, at least through fiscal year 1997. NHPRC is a federal agency providing grants for the preservation of records and other materials that document American History. These grants help historical societies, universities, state and local governments, and other non-profit entities preserve and provide access to many historical collections. They also help in the training of archivists and documentary editors.

In FY1994 Congress appropriated $5.25 million, and with this new legislation the NHPRC may receive up to $7 million in FY1995, $8 million in FY1996, and $10 million in FY1997.

OFFICE OF MANAGEMENT SERVICES

Susan Jurow, Director

TQM CONFERENCE HIGHLIGHTS

On April 20-22, the Office of Management Services presented the 1st International Conference on TQM and Academic Libraries in Washington, DC. Co-sponsored with Wayne State University Libraries and with support from the Council on Library Resources, the theme of the conference was "Total Quality Management Programs in Academic Libraries: Initial Implementation Efforts." Over 140 participants from 56 higher education institutions from the United States, Canada, Australia, Switzerland, the West Indies, and Italy made the conference a truly international opportunity to network and share ideas on continuous improvement initiatives in a variety of academic library settings.

TQM at WSU: The QUEST for Excellence
QUEST
Project

Joseph Branin, University of Minnesota, and William Studer, Ohio State University, at the 1st International Conference on TQM and Academic Libraries.

Plenary Sessions

Plenary sessions featured experts in quality improvement, service delivery, and performance measures. In the opening session, Daniel T. Seymour, President of QSystems and author of *On Q: Causing Quality in Higher Education*, conducted a lively interactive session called "The Geometry Of Quality in Higher Education" that explored some of the myths associated with the production of quality programs and services.

The focus of the second plenary session was service quality. Sue Rohan, Continuous Quality Improvement Consultant for the University of Wisconsin System, addressed quality service and client expectations in her presentation "Is the Customer Always Right? Obtaining the Voice of the Customer."

Performance measures were featured in the third plenary session. William Grundstrom of the independent consulting firm Quality, Benchmarking, Teams, Partnerships, outlined the critical need to establish appropriate performance measures in continuous improvement initiatives. His presentation was entitled "Customer+Quality+Performance Measurement = BENCHMARKING."

A summary of conference themes and closing observations entitled "TQM and Libraries: A Formula for Change" was offered by Dr. Thomas W. Shaughnessy, University Librarian, University of Minnesota, Twin Cities.

In addition to the plenary and concurrent sessions, over 75 conference participants attended a special "Ask the Experts" session on Wednesday night. It was an opportunity for the conference community to come together in a relaxed, informal setting to exchange ideas and share insights on the common problems faced by organizations in the early stages of implementing continuous improvement methodologies.

Concurrent Sessions

The conference format included 24 concurrent sessions following five themes: organizational change using TQM principles, partnership forging with clients and vendors, TQM application to library functions, effective use of teams, use of TQM processes and tools, management and leadership in the TQM environment.

Concurrent session presenters included academic librarians, faculty, consultants, and administrators representing 20 colleges and universities.

Participant Evaluation

The conference events were well received. While a number of evaluations noted the inherent frustration in trying to choose from among the many concurrent sessions offered, most commented that they welcomed the opportunity to tailor the conference experience to meet their individual needs.

Other comments included observations about the rare networking opportunity offered, "meeting the expert consultants and those actually involved in doing TQM" and "lots of candor about things that didn't work."

OMS plans to make an enhanced conference notebook, including proceedings of the plenary sessions and selected contributed papers, available for sale by the end of summer 1994.—*C. Brigid Welch*

KENNEDY TO LOOK AT TQM

Gail Kennedy, Associate Director of Libraries at the University of Kentucky, has begun working with OMS as a Visiting Program Officer. She will be looking at the range of activities and efforts relating to total quality management (TQM) and continuous improvement that are being undertaken in academic and research libraries in North America.

Her primary goal is to establish a locus within the ARL community for ongoing discussion of the evolution of library organizations and management in relation to the principles of quality and continuous improvement. The primary product of this project will be the development of a comprehensive resource notebook that will include experiences of libraries implementing TQM, an annotated list of resources, and adaptation of TQM tools to library settings.

Kennedy has been the associate director of UK

Libraries since 1988. She served on the Board of Directors of SOLINET in 1991/92 and has been active in ALA through LAMA and ALCTS. She was honored by the Kentucky Library Association as Outstanding Academic Librarian in 1993. If you are interested in this project, you can reach Kennedy at the University of Kentucky Libraries or at kennedyg@uklans.uky.edu.

DIVERSITY PROGRAM FOR LIBRARY ADMINISTRATORS AND MANAGERS

As outlined in "Librarywide Diversity Programs" in the May 1994 issue of the ARL newsletter (*ARL* 174), a major factor in successful recruitment and retention of minorities is a visible diversity program. Such a program demonstrates to those outside the institution that there is a serious commitment to human diversity — its value and assets — that includes a willingness to respond to the challenges and adjustments needed to create a supportive and productive work environment.

OMS Diversity Logo

OMS is repeating "Developing a Library Diversity Program: The Agenda and Role of Administration," a seminar designed for those interested in developing librarywide programs on diversity issues. The content of this program is most appropriate for middle and upper management personnel and would be helpful to both those beginning to develop diversity programs and those with programs already underway and seeking to assess their progress and directions.

Based on findings from site visits to libraries and university campuses over the past four years, this seminar explores the role of managers and administrators in developing a climate in the workplace responsive to diversity as well as ways to communicate that diversity is valued in the organization. Participants will review options for addressing diversity from an organizational perspective, including the advantages and cautions for each option. Strategies for engaging the active participation of middle and senior managers in development and implementation of a librarywide diversity program will be discussed. There is also a focus on staff development strategies that managers can use to increase staff involvement and awareness of diversity issues.

Kriza Jennings, Program Officer for Diversity and Minority Recruitment, will facilitate this two-day seminar to be held on August 10 and 11, in Washington, DC. The registration fee is $250 for ARL members and $260 for nonmembers. For groups of four or more, a 15% discount applies. To register, contact Gloria Haws, (202) 296-8656.

ARL SPONSORS BOOTH AND SEMINAR AT BCALA CONFERENCE

The second national conference of the Black Caucus of ALA will be held August 5-7 in Milwaukee, Wisconsin. The theme is "Unity Through Diversity." ARL libraries will be well represented in this year's program with staff as featured presenters and panelists. Approximately 80 sessions will offer a broad overview of challenges facing libraries today from an African American perspective. A number of sessions will explore diversity and minority recruitment issues for libraries and library schools.

Vendors will be exhibiting at the conference who specialize in ethnic and multicultural products and materials, and there will be a placement center. This year, ARL will host an early evening reception on August 6 for personnel from ARL libraries. General conference information and registration details are being sent to all ARL libraries.

To promote opportunities available in academic and research libraries, ARL will have an exhibit booth. Staff from ARL libraries are needed to help staff the booth. Interested individuals should contact Kriza Jennings, Program Officer for Diversity and Minority Recruitment, at ARL Headquarters.

There will also be an opportunity on August 4 for ARL libraries to send personnel to the one-day OMS seminar "Fostering a Climate in the Workplace for Diversity." This seminar explores strategies that individual staff members and/or library committees committed to diversity can implement to foster the development of a climate responsive to diversity and human differences. Discussions will include how to respond to resistance to the implementation of a diversity program in the library. The registration fee for this seminar is $100. For registration information, contact Gloria Haws at (202) 296-8656.

Organized in 1970, BCALA serves as an advocate for development, promotion and improvement of library services and resources to the nation's African American community. It also provides leadership for the recruitment and professional development of African American librarians. Participation in this conference offers an opportunity to support the goals of BCALA and to promote local diversity initiatives.—*Kriza Jennings*

ARL ACTIVITIES

G. Jaia Barrett, Deputy Executive Director

TRANSFORMING THE RESERVE FUNCTION

Over 60 participants representing nearly 40 institutions gathered in Durham, NC, on June 2-4 to explore a series of topics that included library–college store partnerships and the changing landscape of instructional support. The workshop, *Transforming the Reserve Function*, was sponsored by ARL, the National Association of College Stores (NACS), and Duke University.

A number of ARL institutions were represented by staff from both the library and the college store. Among the issues that surfaced during the workshop were the similarities and differences between the content of course packs and materials placed on reserve, the copyright clearance process used by college stores and its potential applicabilty to libraries, and the placement of both activities in the larger context of university teaching.

A workshop theme centered around copyright. Laura Gasaway, Librarian of the University of North Carolina Law Library, reviewed the Copyright Law and summarized the Classroom Guidelines. She then reviewed traditional library reserve collections by noting that reserve copying falls under Section 107, Fair Use. She presented pros and cons on whether or not electronic reserve collections are covered by existing guidelines. She concluded by encouraging participants to develop, implement, and disseminate a clear policy on electronic reserves. She discouraged librarians from tracking electronic use if they don't already track paper-based use and encouraged librarians not to permit faculty to evade the use of copyright-paid course packs.

Copyright surfaced other times during the workshop, once during a panel discussion that featured Don Bosseau of San Diego State, Jerry Campbell of Duke, Kay Flowers of Rice, and Lori Jablonski of NACS. Small groups were formed to examine a series of scenarios involving copyright issues and electronic reserves. Copyright issues also emerged during the presentation of San Diego State University's (SDSU) Electronic Reserve Book Room (E-RBR). Richard Goodram (SDSU Library) and Cindy Griffiths (Aztec Shops) described how the SDSU college store communicates with publishers to seek copyright permission on behalf of the library. The pair described the relative willingness of publishers to permit the library to place materials on electronic reserves, a practice that resulted in less than $200 in annual royalty payments. They also emphasized the effective partnership that developed as a result of this collaboration.

The specific technical systems chosen to meet local needs was underscored during demonstrations of three electronic reserves systems: Duke, Rice, and San Diego State universities. Participants were led through a series of detailed technical, policy, and economic issues by Paul Kobulnicky, Acting Director of Libraries, University of Pittsburgh. The workshop concluded with small groups engaged in a structured, project-planning exercise.

Placing electronic reserves in the larger context of the electronic library and electronic publishing challenged librarians and college store personnel to revisit the ways in which instructional support is provided. The critical role of the faculty and the need to provide more user-centered services were other important themes that surfaced during the workshop.

More people were interested in electronic reserves than could be accommodated in this workshop. To meet that demand, ARL and NACS are planning the Electronic Reserves Forum, to be held at the Sheraton Concourse Hotel in Denver, CO, on July 27-29.—*Mary E. Jackson*

ARL PUBLISHES 4TH EDITION OF E-JOURNAL DIRECTORY

The fourth edition of the *Directory of Electronic Journals, Newsletters, and Academic Discussion Lists* was released in May. The new edition of the *Directory* is a compilation of entries for nearly 1,800 scholarly lists and some 440 electronic journals, newsletters, and related titles such as newsletter-digests — an increase in size of about 70% since the third edition of April 1993 and 3.5 times since the first edition of July 1991. As in the previous three years, frontmatter of value to electronic serial readers is included. Geoffrey Nunberg's (Xerox PARC) "The Places of Books in the Age of Electronic Representation," is reprinted with permission from the University of California Press Journal *Representations* (Spring 1993). Birdie MacLennan of the University of Vermont has prepared a listing and assessment of sites for electronic serials that are maintained by various organizations on the Internet. Jean-Claude Guedon, University of Montreal, contributes an essay on "categorizing" serials in a new medium. Again, David Robison of NorthWestNet offers an updated annual bibliography of articles on electronic publishing. A new addition is Steve Outing's early listing of newspapers available on the Internet.

The paper version of *Directory of Electronic Journals, Newsletters, and Academic Discussion Lists* (ISSN 1057-1337) is available to ARL members for $36 and to non-members for $54. Shipping and handling charges are: $5 (U.S.); $6 (Canada); $15 (Europe); and $20 (other countries) per copy. The diskette version, in either DOS or Macintosh format, is $36 for members and non-members, with no shipping and handling fee charged for the U.S. or Canada; $3 shipping and handling charge applies to all other areas.

Prepayment by check or telephone credit card (Visa or Mastercard) is required. ARL members may be invoiced. Prepaid orders should be sent to ARL, Publications Department, Dept. #0692, Washington, DC 20073-0692.

For additional information, contact ARL at (202) 296-2296 or via e-mail at osap@cni.org.

THE RESEARCH LIBRARY—THE DAY AFTER TOMORROW

ARL convened the 124th meeting of its membership May 18-20 in Austin, Texas. The program addressed how new electronic technologies are precipitating dramatic changes in research, instruction, and the character of research libraries supporting those functions. Representatives from 108 member libraries were warmly welcomed by Harold Billings, Director of the Perry-Castaneda Library, and Robert Berdahl, President of the University of Texas.

An opening session at the UT Supercomputer Center featured special presentations of two multi-media teaching tools. This was followed by a panel of scholars and researchers working at the cutting edge of technology and a panel of professionals from three adjunct areas of librarianship: public and special libraries and graduate library education.

A series of Research Library Showcases featured presentations on cutting-edge activities being led by libraries, including initiatives in teaching/multi-media, electronic online journals, an electronic studio, leadership in a citywide community information network, an electronic information training program, and technology services through team building. The showcase libraries were Iowa, North Carolina State, Rice, Southern Illinois, Texas, and Wayne State.

An early morning session on Campus Wide Information Systems sparked considerable interest in different approaches to CWIS management. The concluding session focused on the recently issued reports of the AAU Research Libraries Project, with leaders in higher education convened in panels to address the proposed action agenda for shaping the transformation of research libraries and scholarly communication. The meeting culminated in unanimous membership endorsement of the strategies proposed by the AAU study and a mandate to proceed apace with implementation

Proceedings of the meeting are being prepared with the assistance of guest editor Allison O'Balle, Information Systems Librarian, UT-Austin Library, and will be published by ARL this fall.

MELLON TO SUPPORT LATIN AMERICANIST PROJECT

ARL was awarded $90,000 from The Andrew W. Mellon Foundation for a pilot project to establish a distributed, network-based system of acquisitions and document delivery in support of Latin Americanist study. The grant is contingent on additional multi-institutional commitments from ARL libraries with strong commitments to Latin American studies.

The project is one of the strategies recommended by the AAU Research Libraries Project to demonstrate the capacities and limitations of network-based access and delivery services. Information is available from Jutta Reed-Scott, ARL Senior Program Officer for Collections and Preservation (jutta@cni.org).

TRANSITIONS

Case Western Reserve: Kaye Gapen announced her resignation as Director of the University Library effective June 30 to join the Morino Institute as the Director of Research Services.

Library of Congress: Hiram Davis was appointed Deputy Librarian of Congress. Dr. Davis was director of libraries at Michigan State University. As the Library's chief operating officer, Dr. Davis will supervise the library's day-to-day internal operations, and the library's seven service unit heads will report to him. He will head the Library's Management Team, oversee the budget, and supervise the implementation of the Library's 1994-2000 Strategic Plan, priorities of which include both a new personnel system and advanced technology.

MIT: Jay Lucker has announced his intention to retire as Director of Libraries in August 1995.

Michigan State: Carole Armstrong is acting director.

Saskatchewan: Frank S. Winter was appointed University Librarian.

Vanderbilt: Shirley Hallblade is acting director.

•••

American Library Association: Elizabeth Martinez was appointed Executive Director. She formerly directed the Los Angeles Public Library.

Catholic University: Elizabeth Aversa was named dean of the School of Library and Information Science. She was a lecturer in the College of Library and Information Services at the University of Maryland.

Council on Library Resources: Jerry Campbell, Vice Provost for library affairs, Duke University, and Dan Tonkery, president and CEO of Readmore Inc., were elected to the Board.

Commission on Preservation and Access: M. Stuart Lynn was appointed interim president effective July 1, upon the retirement of Patricia Battin. Mr. Lynn was Vice President for Information Technologies at Cornell.

IN MEMORIA

Douglas W. Bryant, who retired as Director of Harvard University's Libraries in 1979, died June 12. He served as ARL President in 1969.

Robert Vosper, who retired as University Librarian at UCLA in 1973, died May 14. Dr. Vosper served as President of ARL in 1963 and as a member of the ARL Board from 1969-1971. He also served as president of IFLA from 1971 to 1977.

Frederick Wagman, who retired as Director of the University of Michigan Library in 1978, died in March. He served as a member of the ARL Board from 1965-67.

ARL

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ARL CALENDAR 1994

July 27-29	**ARL/NACS Electronic Reserves Forum Denver, CO**
August 5-7	Black Caucus of the American Library Association "Culture Keepers II: Unity Through Diversity" Milwaukee, WI
October 18-21	**ARL Board and Membership Meeting Washington, DC**
October 31 – November 3	EDUCOM '94 San Antonio, TX
November 29-30	Coalition for Networked Information Fall Task Force Meeting Orlando, FL
November 29- December 2	CAUSE 94 Orlando, FL

ARL CALENDAR 1995

May 17-19	**ARL Board and Membership Meeting Boston, MA**
October 18-20	**ARL Board and Membership Meeting Washington, DC**

1994 OMS TRAINING PROGRAMS

Library Management Skills Institute I: The Manager
Harrisonburg, VA, September 18-21
Nashville, October 11-14

Training Skills Institute: Managing the Learning Process
Washington, DC, September 21-23

Library Management Skills Update I: Building Effective Performance
Baltimore, October 4-5

Library Management Skills Update II: Managing Priorities and Making Decisions
Baltimore, October 6-7

Implementing Continuous Improvement Programs in Libraries
Boston, October 25-28

Resource Management Institute: Financial Skills for Librarians
Toronto, Canada, November 2-4
(previously Washington, DC)

Library Management Skills Institute II: The Management Process
Chicago, November 6-11

Women in Library Leadership
Washington, DC, November 7-10

Redesigning ILL and Document Delivery
Chicago, November 16-18

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Current Issues

ARL IN SUPPORT OF A DIVERSE RESEARCH LIBRARY WORKFORCE

In January 1994, ARL established an ongoing program for minority recruitment and retention. This report is an overview of association activities that built the foundation for the program and a description of the closely related Office of Management Services Diversity Program.

A scan of the five-year history of association actions to address the recruitment of minorities to careers in research libraries pinpoints a "Current Topic Session" at the Spring 1990 ARL Membership Meeting[1] as a pivotal event. The only record of the session is brief, noting that the discussion centered on the need to prepare for a more diverse workplace and that there was a strong expression of need for more information about strategies for minority recruitment and retention. What emerged from that membership discussion and through the intervening five years was an array of exploratory and information exchange activities.

> *You know that "business as usual" or, to be more exact, "recruitment as usual," produces little or no change. As directors of libraries .... use the real power of your positions to increase the numbers of persons of color within the profession and on your staffs, provide services and collections that address their needs, all our needs, and address the needs, thus, of our contemporary culture.*
>
> —Gloria DeSole, Special Assistant to the President for Affirmative Action, State University of New York, Albany, speaking before ARL Membership, October 1992

- An ARL OMS SPEC survey identified member library interest, concerns, and ideas for action on diversity, affirmative action, and minority recruitment. This survey produced three SPEC Kits that provide baseline data on ARL libraries' attention to these issues and identified where work was needed to assist libraries in developing a more diverse workforce.
- Directors of ARL libraries worked in four different task forces or working groups to explore the issues and discuss options for future actions.
- ARL Membership Meetings regularly provided programs, information, and opportunities for discussion around matters of cultural diversity as well as minority recruitment and retention.
- In 1993, the Association was fortunate to engage Gloria DeSole, Special Assistant to the President for Affirmative Action at SUNY, Albany to advise the association on how to serve its members in this arena. Ms. DeSole's formal and informal contributions at ARL meetings and committee discussions offered guidance on how ARL and OMS programs could be most effective for the institutional environment within which research libraries operate.
- Regular articles in the ARL newsletter facilitated the sharing of strategies and findings from OMS site visits.

While ARL developed an agenda around minority recruitment and retention, OMS undertook an extensive exploration of cultural diversity in the workplace through literature reviews and site visits. A significant player for this work was the H.W. Wilson Foundation. Two grants, in

1990 and 1991, enabled OMS to establish the project "Meeting the Challenges of a Culturally Diverse Work Environment." It was the Wilson Foundation support of this project that made it possible to recruit and retain Kriza A. Jennings as OMS Diversity Consultant, initially on a part-time basis.

The work of this project continues today as the OMS Diversity Program. The OMS Diversity Program focuses primarily on the development of workplace climates in research libraries that welcome, develop, foster, and support diversity. In addition, it seeks to develop an awareness of human differences leading to a value of and respect for these differences. The program actively collects resource materials, networks with other national and state library associations, identifies strategies utilized by other disciplines, and explores the development of ideas proposed by members. Presentations, seminars, and consulting services on cultural diversity are available to assist all types of libraries and related organizations to address and respond to the challenges they are facing.

In response to increasing requests for services, OMS was able to increase the Diversity Consultant's hours, creating a full-time position on a cost recovery basis in 1993. With this increase in commitment, the Diversity Consultant also began to focus a portion of her time on strategies relating to minority recruitment and retention in libraries of all types, as well as strategies implemented by higher education and business and industry.

Building on the initial findings attention has turned (in the past two years) to the design of seminars, resource materials, and programs to respond directly to the issues libraries and others are seeking to address.

In 1994, the OMS Diversity Program created a Partnerships Program with libraries, library schools, associations, consortia, networks, and state libraries in an effort to promote the collaboration on this set of issues within the library community. The Partnerships Program has signed agreements with twenty institutions to begin a two-year commitment with ARL on action-oriented agendas to achieve measurable results.

Throughout these years, the ARL Board has devoted time to determine the best way to deploy the Association's resources to have an impact on the low numbers of minorities in professional positions in ARL libraries. Acting on the advice of the working groups and task forces, the Board endorsed a five-year plan and recommended to membership the establishment of a dues-supported Minority Recruitment and Retention capability. This recommendation was unanimously approved at the October 1993 Membership Meeting.

With a mandate from the membership to establish a capability, the OMS Diversity Consultant was promoted to Program Officer for Diversity and Minority Recruitment effective January 1994, and a newly-charged ARL standing committee was established to facilitate implementation of the five-year plan. In the current staffing configuration, the Program Officer devotes 50% of her time to minority recruitment and 50% of her time to the OMS Diversity Program with the two programs clearly complementing one another.

Early in 1994, the Gladys Krieble Delmas Foundation awarded ARL a grant to support activities to recruit minorities to careers in academic and research libraries, supplementing the membership dues allocated for this new capability. The Delmas Foundation award, arriving early in the calendar year, assured the program of stable funding for its initial year and a concentrated period of time to focus on programmatic strategies.

To date, over seventy academic and library institutions have hosted the Program Officer for Diversity and Minority Recruitment for a site visit, consultation, and/or training session. This includes visits to 28 ARL member libraries and 40% of the accredited U.S. library schools. With the assistance of the Delmas Foundation, the number of ARL libraries and library schools visited will increase this year. In several ARL institutions, the university administration and other departments and schools have also chosen to use the services of the OMS diversity program.

These visits help ARL to learn more about strategies and challenges in different geographic regions and have proven to be extremely important for learning about the different responses taken by universities.

At the Fall 1994 Membership Meeting, a report will be made on the work of the Minority Recruitment and Retention Program for its first nine months of operation. There will also be an opportunity for discussion of future plans, directions, and strategies.

Information packets about the ARL and OMS programs are available on request to Marianne Seales, Program Assistant (marianne@cni.org). To discuss a site visit, training session, or consultation, contact ARL's Program Officer for Diversity and Minority Recruitment, Kriza Jennings (kriza@cni.org).

RESPONSE TO INTERIM AAU REPORTS PUBLISHED

ARL has published *Transitions and Transformations*, which is Part II of the Proceedings of the 123rd ARL Membership Meeting. The publication addresses the interim reports of the AAU Research Libraries Project. Also included are the proceedings of the Membership Business Meeting and a report on Association activities, completing the full record of ARL's 123rd Membership Meeting. ARL discussion of the final AAU reports took place at the 124th Membership Meeting. Proceedings of that meeting will be published later this year.

THE FUTURE DIRECTION OF LIBRARY ACCESS AND DELIVERY SERVICES

Research libraries are taking full advantage of technology to redesign their access and delivery services in order to maximize their constituencies' access to instructional and research materials and to minimize the costs of supporting such services. Discussions among participants in ARL's North American Interlibrary Loan and Document Delivery (NAILDD) Project[1] identified a need for a shared understanding about future directions for library access and delivery services.

The statement that follows describes an environment in which users may exercise choice and responsibility; and in which research libraries serve as sources for comprehensive collections, centers of instruction and advice, and providers of gateway services to other libraries or information sources. This statement presents the consensus view of the leadership of research libraries about the future direction of library access and delivery services.

Information Access & Delivery Services: A Strategic Direction for Research Libraries

In an environment of distributed networked information and desktop delivery, research libraries are a primary but not exclusive source for user access to instructional and research materials. Local online library information systems support access to a variety of appropriate information sources and provide flexible ordering and delivery features that enable users to initiate a request electronically and to receive material from many libraries or other information sources.

A library's technical systems, coupled with supporting institutional and library policies, will enable a user to:

- have transparent access to the most relevant information through appropriate local and remote library catalogs, citation databases, and electronic resources,
- transfer bibliographic citations or details about non-bibliographic items into electronic requests or orders,
- pass requests or orders through the library online system to determine the local availability of the item,
- depending on the user's choice and local policy, direct the request or order to one of a range of suppliers including document delivery suppliers, or a local or remote library interlibrary loan/document delivery department,
- communicate electronically with the chosen supplier, and
- receive the print materials, multimedia, data, or full text/full image copy of non-returnable documents directly at their desk or workstation.

As these user-initiated services evolve, individual libraries will devise strategies to minimize the costs of the services and optimize appropriate staff involvement in user assistance programs such as reference and instruction. Library services that teach users to think critically and clarify their information needs will be expanded to assist all types of users to develop different levels of information and networking skills.

The quality and use of libraries' access and delivery services will be key success factors in measuring overall library performance.

Achieving such access and delivery services requires focused attention and participation on the part of all libraries in North America and colleagues around the world, and will be an evolutionary process shaped by the local library mission and its available resources. This strategic direction requires:

- the continued strengthening of library collections comprised of all formats,
- adherence to copyright and licensing practices that recognize fair use of materials, and
- the availability of an effective and affordable local communications system, user access to necessary hardware and software, and appropriate institutional and library technical support.

Pursuit of these new services also demands active collaboration between libraries and a broad constituency of private sector interlibrary loan, document delivery, library automation vendors, and data providers.

—*Adopted by the ARL Board of Directors, July 19, 1994*

[1] The NAILDD Project was initiated by ARL in 1993 to facilitate the development of standards, software, and system design capabilities to improve interlibrary loan and document delivery services for users, and to make them more cost effective for research libraries. The NAILDD Project is undertaken in collaboration with over 40 key ILL/DD vendors and system suppliers. Also underway is an ARL Office of Management Services process to assist libraries to redesign ILL operations and anticipate and accommodate new article delivery options and other networked information services.

AAU/ARL DEMONSTRATION PROJECTS

The AAU Research Libraries Project addressed issues affecting a research library's capacity to acquire, manage, and disseminate scholarly information. The result of that project was adoption of a joint AAU/ARL action agenda. (See *ARL* 175, pp. 3-4.) Two of the AAU Task Forces, Foreign Language/Area Studies and Scientific/Technological Information recommended launching a series of demonstration projects with two mandates:

- to exploit the full potential of communications and computing technologies, and
- to encourage investments and/or changes that can enable innovation and demonstrate long-term cost advantages for research institutions.

Experimentation is sought in network-based access, delivery, and consultation services in order to demonstrate current capabilities, provide a larger base of experience, and produce user feedback that will be incorporated into redesign and deployment of further experimentation. Thus, a phased implementation strategy has been adopted for this set of recommendations from the AAU project. At this point three demonstration projects, targeted on research materials that originate in Latin America, Japan, and Germany, are in various stages of development.

Each project is designed to push aggressively against any barriers to a network-based program that provides access to distributed collections of research materials. The projects will also anticipate strategies that extend the information infrastructure in ways that support the full range of functions important to scholarly and scientific communication.

In the most general terms, each project is expected to develop collections and services that are essential for the study of the targeted area and that take full advantage of the economies and efficiencies promised by the combination of cooperative acquisitions and electronic delivery mechanisms. The projects will address issues such as

- the impact of distributed collections on scholars;
- local implications of decisions to rely on remote collections;
- the legal requirements and logistics of copyright clearance for foreign publications;
- implementation and enforcement of cooperative commitments to collect, catalog and/or index;
- resource reallocation within and among institutions on a broad scale; and
- analysis of costs and the definition of sustainable fee structures for effective cooperative programs.

Where the three projects will differ, in order to produce a range of participants and experience, is in the organizational locus of the project activity. ARL's Committee on Research Collections will provide advice and direction on progress toward the overall goal of the experimentation, and each project will have advisory groups specific to their scope and activity.

The following is a status report on each project as of late August.

Latin America Project

The Latin American Studies Research Resources Pilot Project will create a prototype for distributed but interconnected collections for Latin American Studies. The scope and approach of the project emerged from a Mellon Foundation-sponsored meeting on Latin American resources held at Duke University last spring. The project will focus on three categories of research materials published in two nations, Mexico and Argentina. Major project activities are:

- to distribute the collecting responsibilities for a cross-section of Mexican and Argentine serials, along with complementary systems for indexing and document delivery,
- to digitize selected categories of official documents from the two nations, and
- to select major non-governmental organizations, research institutes, and other non-commercial producers of research reports and discussion papers in Mexico and Argentina and distribute responsibilities among participating libraries for collecting, cataloging, and document delivery of their publications.

ARL provides the administrative umbrella for project support, coordination with other demonstration projects, communication about the activities, and project evaluation.

Implementation moved two big steps forward with the successful completion of fund raising and the appointment of a project coordinator. In June, The Andrew W. Mellon Foundation awarded ARL $90,000 for the project and by the end of July, 24 libraries had agreed to participate formally and to contribute funds towards the project activities. In August, ARL appointed Mark L. Grover, Latin American Studies Bibliographer at Brigham Young University Library, as Project Coordinator. Dr. Grover will work from the David M. Kennedy Center for International Relations and the Harold B. Lee Library at Brigham Young University, which are providing additional support for the project. An Advisory Committee, formed to oversee the implementation of this project, will meet in September.

Japan Project

The Japan demonstration project will focus on network-based access to scientific and technical serials published in Japan and on defining a structure for deciding responsibilities for collecting, cataloging or indexing, and delivery of these resources. The Center for Research Libraries will provide organizational support for this project; ARL, in collaboration with AAU, will provide the administrative umbrella for fund raising support, coordination with other demonstration projects, and project evaluation.

In July an ARL Working Group on Japanese Scientific and Technical Information was established to guide the design and development of the project. At its first meeting in August, the Working Group narrowed the project scope to Japanese language journals and serials in three high-impact science and technology fields: biotechnology, opto-electronics, and computer-aided manufacturing. The relatively narrow subjects selected for the project, and the interdisciplinary and emergent nature of research in these fields, positions this project to demonstrate a distinctive option for increasing a scholar's access to research materials.

The Working Group identified three components for the project work plan: building collections of core journals for each of the three targeted subjects; generating awareness of the materials among potential users (via inclusion in established indexing and abstracting services, USENET discussion forums, etc.); and securing timely and cost-effective delivery of the materials to users. The ultimate "products" of the project were defined as

- an electronic guide to the Japanese literature on each of the three subjects, perhaps taking the form of a site on the World Wide Web;
- expanded North American collections of key Japanese serial titles; and
- electronic delivery of articles to users.

Equally important, the project should build the foundation for encompassing additional fields in Japanese science and technology.

Germany Project

The proposed project scope includes items published in Germany on topics in history, political science, sociology, and economics. Critical to long-term improvement in access to specialized German research resources is strengthening collaborative programs with libraries in Germany. ARL has begun discussions with German libraries to explore the feasibility of electronic document delivery.

To move ahead with development of the German demonstration project, ARL will appoint a Working Group consisting of faculty and librarians specializing in German studies and with expertise in social sciences. The Working Group will be charged with design of the project and development of the work plan and implementation strategy.

The Library of Congress will provide operational support for the project; ARL, in collaboration with AAU, will provide the administrative umbrella for fund raising support, coordination with other demonstration projects, and project evaluation. ARL is currently exploring funding sources to support the initial project planning and start-up.

***

Libraries with collections and/or user constituency interests that match the topical focus of any of the demonstration projects are urged to contact ARL to discuss a role in these or subsequent project activities.

—Jutta Reed-Scott, ARL Senior Program Officer for Preservation and Collection Services

PROJECT ROSTERS

Latin American Project Advisory Committee

- Dale Canelas
  - Director of University Libraries, University of Florida
- Peter Cleaves
  - Director, Latin American Institute, University of Texas
- Georgette Dorn
  - Specialist in Hispanic Culture, Hispanic Division, Library of Congress
- Dan C. Hazen
  - Librarian, Latin America, Spain, and Portugal, Harvard University (Also LAMP chair)
- Deborah Jakubs, Chair
  - Head, International and Area Studies, Perkins Library, Duke University
- Eudora Loh
  - Latin American Bibliographer University of California–Los Angeles
- Lars Schoultz
  - Director, Institute of Latin American Studies University of North Carolina

Resource Persons:

- Commission on Preservation and Access
  - M. Stuart Lynn, Interim President
  - Hans Rütimann, Consultant

ARL Staff:

- Duane E. Webster, Executive Director
- Jutta Reed-Scott, Senior Program Officer for Preservation and Collection Services

Latin American Project Participating Libraries

(as of August 19)

University of Arizona
Boston University
Brigham Young University
University of California–Berkeley
University of California–Los Angeles
University of California–San Diego
Center for Research Libraries
Columbia University
Duke University
University of Florida
Harvard University
Library of Congress
University of Miami
The University of New Mexico
New York Public Library
New York University
University of North Carolina
University of Notre Dame
University of Pittsburgh
Syracuse University
University of Texas
University of Toronto
Tulane University
Yale University

Japan STI Working Group

- Maureen Donovan
  - East Asian Collection Ohio State University Libraries
- Phyllis Genther Yoshida
  - Director, Japan Technology Program U.S. Department of Commerce
- Jay Lucker
  - Director MIT Libraries
- Brenda Hurst
  - Manager, Acquisitions Canada Institute for Scientific and Technical Information
- Ichiko T. Morita
  - Director, Japan Documentation Center, Library of Congress
- Sachie Noguchi
  - East Asian Bibliographer University of Pittsburgh
- Barbara J. Peterson
  - Director, Information Services and Resources 3M Corporation
- Richard Schlichting
  - Department of Computer Science University of Arizona
- Donald B. Simpson, Chair
  - President Center for Research Libraries
- James Wyatt
  - Director University of Rochester Libraries

ARL Staff:

- Jaia Barrett, Deputy Executive Director
- Jutta Reed-Scott, Senior Program Officer for Preservation and Collection Services

Information Liaison:

- Amy Vladeck Heinrich, Chair, National Coordinating Committee on Japanese Library Resources, and Director, C.V. Starr East Asian Library, Columbia University.

OFFICE OF SCIENTIFIC AND ACADEMIC PUBLISHING

Ann Okerson, Director

THE FUTURE OF THE BOOK

"*Ceci tuera cela!*" ("This will kill that!") So said the fifteenth-century archdeacon as he brandished a printed book in the direction of Notre Dame Cathedral in Victor Hugo's novel (while the hunchback was elsewhere engaged). The idea that new technologies threaten long-held cultural and social values was heavy in the air at a conference on "The Future of the Book," held July 28-30 in the fortified town of San Marino, overlooking the sweltering plains and hills of northern Italy. Several speakers quoted the archdeacon's words, which returned as a mantra in the final remarks of the conference's star speaker, semioticist and novelist Umberto Eco. Eco acted out the anxiety of the present by holding up a paperback book, then reaching under the table for his laptop computer and juxtaposing them as the archdeacon had done with the book and the cathedral.

This meeting, sponsored by Rank Xerox and the Institute for Semiotic and Cognitive Studies of the University of San Marino, featured a dozen academic papers. Unlike many of the future-oriented meetings of recent years, this one featured no in-lecture demos, no Internet connection, and little attention to the obsessive real-world issues of platform independence, copyright, cost-recovery, or the like. This was an occasion for scholars to step back and ponder the meta-issues: What do the new technologies mean for our society? How do they alter the character and nature of knowledge and cultural memory?

Several speakers addressed the literary prospects of hypertext in one way or another. Will the author disappear? Will the reader disappear? Will hypertext be better understood as the system within which reading takes place as we all link from document to document, or will individual creations with pre-formed links take a dominant role? Perhaps most striking was the confidence with which all agreed that, somehow, we have a new way of handling text in hypertext.

Venerable questions of predestination and free will bubbled beneath the surface as well. Many speakers all vigorously denied any determinist leanings, insisting that whatever transformations now occur are not in the first or second instance matters of technology, but matters of social choices made about institutional and cultural structures. Just how those choices are made and how far they are susceptible to rational control were questions debated repeatedly through the conference.

Régis Debray, the veteran theoretician of Latin American revolution from the 1960s now reincarnated as a "mediologue," spoke of the consequences of the "demassification" or "dématérialization" of the physical artifacts by which culture is borne. Debray warned that as societies have looser and looser ties to places and things, they may find themselves subject to reactionary forces grasping for old certainties.

The star of the conference was host Umberto Eco, and he made the most of his position at the end with "conclusive remarks" in which he thoughtfully drew together themes and made his own distinctions. For Eco, it was important to emphasize that McLuhan was wrong at least twice: first, in thinking that image would dominate alphabet in the new electronic culture (alphabetic material is far more easily moved and manipulated on the information networks), and second, in thinking that electronic technology would usher in the intimacy of a global village. Far more likely, says Eco, that solitude will be the problem of the new age. He offered well-constructed insights from contemporary Italian life of the power and influence of new ways of thinking, while at the same time cautioning that old cultural expectations will continue to control the choices that societies make. Hypertext he welcomes cannily, the Internet he welcomes in principle (though to this eye he seemed to be speaking of a culture he has not yet inhabited); but he still does not see where and how the role of "publication" will be fulfilled in an e-world that for him more closely resembles the samizdat of late Soviet authors denied formal access to a wide public.

Will the book disappear? This was the red herring question of the whole conference, for though it seemed to be an implicit expectation, all speakers and discussants were at pains to insist that it will not. What emerged to this library-formed participant most strongly was that it is the scholars and authors who have the most fixed and in some ways narrow conception of the book as vehicle of culture. Though speakers were strikingly anxious to maintain a place for the book in culture, it was clear that the book they care about takes up only a small space on our library shelves and forms only a small part of the flooding output of printed matter that emerges today. Here it seems that the library community is far ahead in considering the multiplicity of forms in which information will increasingly come. Seen in that light, this was a conference not so much on the book and its future as on the "idea of the book," in many ways a more fragile and threatened artifact than the book itself.

The one part of the future of the book most confidently predicted is the appearance of the conference papers in hard covers during 1995. — *Ann Okerson*

JOURNALS EXPERIMENT LAUNCHED

IEEE is supplying images of all of their publications to the University of California to be accessed through the MELVYL online catalog system. The IEEE-UC experiment includes all IEEE journals, magazines, standards, and conference proceedings since 1988 — over one million pages in all — and this information is fully searchable and indexed to the Inspec database. The test will run about three years. A survey of UC users will be done to see if some drop their memberships in IEEE because of the easy access to IEEE publications via MELVYL.

CLR AND AAP SPONSOR LIBRARIAN/PUBLISHER DIALOG

A Publisher's View

Under the joint sponsorship of the Association of American Publishers Professional and Scholarly Publishing Division and the Council on Library Resources, a group of seven publishers and seven librarians met in late 1993 and early 1994 at three workshops to discuss the emerging electronic environment for the dissemination of scholarly information. This working group, as it called itself, looked first at the value-added contributions that are currently being made by publishers and librarians and then turned to an examination of the future. The group made several recommendations for further action, and a final report will be issued shortly.

As one of the participants, I was struck by the vigor of our discussion of the current process. Publishers have only a hazy idea of what goes on in libraries, especially of the range of activities, and librarians generally have foggy notions of the processes and, even more, the costs of publishing. This lack of knowledge impedes discussion of electronic publishing and dissemination, because we cannot accurately relate future developments to current processes in terms of functions, organizational structures, or costs. There is no one solution to the problem, but the working group made an effort to enumerate the values that are added by publishers and librarians in the information dissemination process, and the group recommended that studies be undertaken of the economics of library functions and publisher costs.

The discussion was easier when we speculated about the future. To facilitate our review, we talked about three scenarios. In the "null" scenario, publishers and librarians are eliminated, as dissemination becomes entirely electronic. In the second scenario, the current basic processes remain, but efficiency and effectiveness are enhanced by electronic means. Finally, in the "breakthrough" scenario, basic processes are fundamentally changed, and some functions of librarians, publishers, and others are recombined in new and better ways.

In our brief meetings, the scenarios could not be developed in detail. However, it was clear, even with sketchy descriptions, that each member of the working group had a different evaluation of the likelihood and the desirability of the alternatives. The division of opinion was not strictly into groups of publisher versus librarian. Some publishers and some librarians think that electronic dissemination is very likely and very desirable; others in both groups are much more reserved.

The working group generally agreed that some aspects of each of the scenarios will come about: some information will be disseminated without any handling by publishers or librarians; some publishers will fail; some library functions will cease; some organizations will be using the electronic technology in sophisticated ways to enhance current processes; and some entirely new types of organizations will emerge.

One of the important conclusions we reached was that new products and services will be most efficiently developed on the basis of collaboration between publishers and librarians in undertaking pilot projects and sharing experiences. In addition, a renewed dialog between the two groups is critical, in order to foster understanding of the current and new processes. The lively, frank, and open discussion of the working group was exactly the sort of dialog that is needed. — *Robert Shirrell, Journals Manager, University of Chicago Press*

A Librarian's View

Particularly appealing to me as a participant in the recent activities of the Joint Working Group on Professional & Scholarly Information in the Electronic Age was the opportunity to work with publishers representing a variety of publishing orientations and to work with library directors from varied kinds and sizes of libraries. Any initial preconception that the disparate backgrounds of the participants might make it difficult to speak the same technical language and to relate successfully in discussions and exercises proved to be no major problem.

The participants soon became more than just publishers and librarians. These were people who shared many of the same values and missions as one another, who performed similar tasks in their work, who shared many of the same pressures and concerns regarding how to achieve success in adding value to information products for the benefit of the scholarly and professional communities. We all are unsettled by the uncertainties of how technologies will affect us and our specific information services marketplaces. We all suffer from the same fiscal and other circumstances that have created a killing field for journals and monographs alike.

While the results of the work of the group will have to speak for itself through a report soon to be issued, I must say that I discovered that I knew far less about the processes and economics of publishing than I thought and that I changed my mind dramatically regarding possible changes the scholarly communication process. Infrastructures like those that sustain the publishing process — built over time, complex, fragile, representing major investments in human expertise and operational design and process — cannot simply be dragged from a commercial orientation and dropped within our academic institutions. Like health care, I want my information to come through a professional process.

The problems we face must be solved through the collaborative attention of commercial publishers, university presses, libraries, and the scholars, institutions, and societies involved in the creation and dissemination of scholarly information. — *Harold Billings, Director, University of Texas Libraries*

COALITION FOR NETWORKED INFORMATION

Paul Evan Peters, Executive Director

CREATING NEW LEARNING COMMUNITIES VIA THE NETWORK

Course innovation using Internet as a vehicle involves more than technological innovation. Many of the participants at a Creating New Learning Communities via the Network conference found that, in their curriculum projects, the development of their course changed the way they interacted with other colleagues on campus who became part of an instructional development and delivery team. "Re-thinking the entire process is crucial," said Philip Tompkins, Estrella Mountain Community College and one of the conference organizers. "We need to develop a model where faculty are experts who need to work with teams of other experts and do so in broader settings than the isolated classroom environment."

Ten institutions participated in the conference, which brought together teams developing new learning communities through the integration of networking and networked information into higher education teaching and learning environments. All participating teams had experience using new information technologies and network-based applications to support and build groups of faculty and students using collaborative strategies to improve both course content and the teaching and learning process.

The conference was held at Estrella Mountain Community College in Phoenix, AZ, on July 31 – August 1. The meeting was hosted by the Coalition for Networked Information with the sponsorship of EDUCOM, the Association of College and Research Libraries (ACRL), and the American Association for Higher Education (AAHE). Participating institutions included: University of Arizona, University of Central Arkansas, Montana State University, Northern Arizona University, University of Binghamton, San Diego State University, Kenyon College, Ohio State University, Indiana University–Purdue University at Indianapolis (IUPUI), and SUNY Empire State College.

Some of the projects that were represented included:

- a simulation activity in which classes build working models of communities in a historically plausible future Solar System, using a Multiple-User Domain (MUD) program, communication on the network via e-mail, and other Internet applications (Northern Arizona University and eleven other campuses);
- a project offering science and mathematics courses nationally to high school teachers over the network (Montana State University);
- an institute that assists faculty members in learning how to integrate search strategies and information technology into their teaching and to encourage student use of technologies (Kenyon College); and
- development of Electronic Seminars; for example, one on Africa and Its Peoples used in a distance education setting (Empire State College).

Teams from over 30 institutions in four countries responded to the Coalition's Call for Participation, inviting institutions to submit a description of their program in order to participate in the conference. Each team incorporated collaborative relationships with individuals from different sectors of the institution, often including faculty, information technologists, librarians, and students as part of the community developing the project. One of the Coalition's goals is to encourage and facilitate cross-sector partnerships in the development of networked information resources and services.

One participant expressed the opinion that the team, as it works, is negotiating a new reality, which may mean giving up some of the individuals' former authority and redefining the members' roles. He commented, "Every time we include new perspectives on a team, we have to learn a new language, a new culture, a new perspective." Many agreed that explicit attention to the dynamics of the collaborative undertaking was a key to the success of their project.

The conference provided an opportunity for the teams from each institution to share their experience with each other, engage in small group problem-solving discussion, and assist in the development of findings and recommendations, which the Coalition for Networked Information will distribute, to assist other institutions who wish to undertake similar endeavors. The Coalition's Working Group on Teaching and Learning co-leaders, Philip Tompkins of Estrella Mountain Community College and Susan Perry of Stanford University, conceptualized the program as a means of providing support for those involved in developing network-based learning projects and an opportunity for refinement and interchange among early adopters of networking technology for teaching and learning.

In addition to collaboration among the members of the development team, participants emphasized the collaborative nature of learning in network-mediated courses. A common theme among participants was the observation that in network-based courses, social hierarchies tend to dissolve and need to be re-created; much more peer-mediated learning takes place over the network than in the traditional classroom environment. Many of the faculty felt that providing students with situations in which they can learn as teams is essential to their future. One faculty member related what happened when he had to be out of the country for two weeks without Internet access. He apologized to his students and left town, expecting that the course would be suspended until his return. To his amazement and ultimate delight, he found that the students had organized themselves over the network and assigned tasks and roles and made substantial progress with the course in his absence.

Another theme of the conference was the notion that working with technology has a strong social dimension and that spaces must be designed with that in mind. Most computer labs are set up in traditional lecture format with an instructor's workstation in front and student workstations in rows. They are not set up in formats conducive to collaborative learning. The conference site, Estrella Mountain Community College Center, opened in August 1992 as the tenth of the Maricopa Community Colleges. It is an example of a college planned from the beginning to support the development of learning communities with information access and computer access across the curriculum. Estrella Mountain's Provost, Homero Lopez, noted that "the conference is a wonderful opportunity to rub shoulders with instructional teams from across the country who regard the world as their classroom." Participants appreciated being exposed to the physical and technological facilities available at the Estrella site.

Challenges to implementing new learning communities over networks were also discussed. Some of the common problems mentioned were

- the need for training in skills to use the underlying technology (by faculty, students, and librarians),
- the difficulty of dealing with multiple technology platforms both on campus and in distance education environments,
- convincing some students that the increased independence and the less formal structure of many of these courses were positive features,
- the costs associated with developing and implementing the programs,
- scaling the programs to accommodate more students and other institutions,
- recognition of work on projects such as these in promotion and tenure decisions,
- intellectual property rights, and
- the assessment of mastery of course content and the collaborative learning process itself.

Participants commented that they now had a support group of the other nine attending institutions. While the content and implementation method of the programs varied greatly, many felt that they had far more similarities than differences.

One participant commented, "I take away a half a dozen specific applications I can use in my courses. I have a better understanding and appreciation of team work, the resource issues, assessment, and in general, a new sense of how radically (use of networking) alters the teaching/learning process."

A report and project descriptions will be available on the Coalition's Internet server. In addition, a videotape of excerpts from the conference will be available for purchase in the Fall. — *Joan Lippincott, Assistant Executive Director*

WORKING TOGETHER

The Coalition for Networked Information will offer a workshop "Working Together: A Planning Retreat for Library and Information Technology Professionals" on October 5-7 in Washington, DC. The workshop will provide an opportunity for a small number of institutional teams of librarians and information technologists to develop techniques to increase the effectiveness of collaborative efforts and to begin a planning process for specific collaborative projects.

This will be the first time that this workshop will be offered, and it is targeted to reach senior administrators of libraries and computing centers in larger universities. Subsequent offerings of this workshop will target smaller colleges and single institutions.

One of the goals of the Coalition is to integrate efforts to support the overall information resources and services mission for the entire academic institution. By providing opportunities for senior administrators of libraries and senior administrators of information technologies in higher education institutions to work together in a common enterprise directed toward a shared future, the Coalition hopes to advance progress in this area. This workshop will be an intensive, participant-oriented event, using case studies and a variety of participative techniques. Participating teams will be asked to meet in advance of the workshop and to complete a form identifying their background and aspirations.

The workshop was developed by Susan Jurow, Director, Office of Management Services, Association of Research Libraries, and Gerry Bernbom, University Data Administrator in the Office of Information Technology, Indiana University. They will serve as facilitators of this workshop. A registration form, draft agenda, and additional information on this workshop is accessible on the Coalition's server. If you access the server via Gopher, choose the "Coalition Working Groups" menu item, followed by "Management and Professional Development," then "Working Together."

Questions on this program should be directed to Joan Lippincott, Assistant Executive Director, Coalition for Networked Information (joan@cni.org).

MANAGING THE NETWORKED ORGANIZATION

The 1994 Coalition for Networked Information Fall Task Force Meeting will be held in Orlando, FL, starting at 9 a.m. on Tuesday, November 29 and ending at noon on Wednesday, November 30. The theme of the meeting is "Managing the Networked Organization."

The meeting will be held at the Walt Disney World Dolphin Hotel. The CAUSE Annual Meeting will immediately follow the Coalition Task Force Meeting.

FEDERAL RELATIONS

Prudence S. Adler, Assistant Executive Director-Federal Relations and Information Policy

INTELLECTUAL PROPERTY AND THE NII

On July 7, the Working Group on Intellectual Property Rights of the Information Infrastructure Task Force (IITF), released a draft report, *Intellectual Property and the National Information Infrastructure*. This is one of several Administration reports that addresses next steps vis-a-vis deployment of the national information infrastructure, or NII. The draft report, as with other NII related efforts, follows a public hearing held last November that solicited a range of public and private sector perspectives — including the barriers and opportunities that must be addressed in order to implement the NII. A report on that hearing, and on the library and education community statement presented, appeared in *ARL* 172, pp. 6-7.

The draft report calls for "minor changes" to the Copyright Act of 1976. While proposing changes, the Working Group acknowledges that "with no more than minor clarification and amendment, the Copyright Act, like the Patent Act, will provide the necessary protection of rights — and limitations on those rights — to promote the progress of science and the useful arts. There must be, however, effort in three disciplines — the law, technology, and education — to successfully resolve the intellectual property issues raised by the development and use of the NII."

Changes proposed to the copyright law relate to fair use, distribution by transmission, publication, first sale, and educational uses. With regards to fair use, the Working Group "has significant concerns" that current provisions in the Act (including Sections 107 and 108) may not provide the public sufficient access to copyrighted materials via the NII. The Working Group notes that "it is critical that researchers, students, and other members of the public have opportunities *online* equivalent to their current opportunities *off-line* to browse through copyrighted works in their schools and public libraries." The Working Group notes that guidelines for library and educational use of printed matter and music were voluntarily adopted by diverse parties and, while the principles should still be applicable, it is difficult and, perhaps, inappropriate to apply the specific language of some of those guidelines in the context of digital works and online services.

The Working Group will sponsor a conference on fair use issues. Participants will represent copyright owners and user interests to develop guidelines for fair uses of copyrighted works by and in public libraries and schools. The date of the conference has not been announced.

The Working Group draft report is available via the IITF Gopher, iitf.doc.gov.

PRESIDENT ADDRESSES GPO ROLE

On July 22, as President Clinton signed H.R. 4454, Legislative Branch Appropriations for FY95 he cited constitutional concerns regarding "involvement of the Public Printer and the Government Printing Office in executive branch printing related to the production of Government publications." The President issued a statement that could be interpreted as limiting the kind of government publications available through GPO programs. Specifically, the President's statement calls for placing limits on GPO's authority over printing procurement to "documents intended primarily for distribution to and use by the general public." Such a definition might eliminate some government publications from the Depository Library Program and GPO's sales program. The President's statement closes with a call for a reform of Federal printing.

LC FINANCIAL AUTHORITY

Rep. C. Rose (D-NC), chair of the House Administration Committee, introduced H.R. 4736, the Library of Congress Financial Reform Act of 1994. H.R. 4736, more narrowly focused than previous bills (S. 345), seeks to update the Library's financial authority.

SLA PUBLISHES COPYRIGHT GUIDE

The Special Libraries Association has published *Libraries and Copyright: A Guide to Copyright Law in the 1990s*. The book was prepared by Laura N. Gasaway, Director of the Law Library and Professor of Law at the University of North Carolina–Chapel Hill, and Sally K. Wiant, Director of the Law Library and Professor of Law at Washington and Lee University. Both authors are active leaders within SLA and the American Association of Law Libraries and have on more than one occasion contributed to SLA–AALL–ARL collective actions on copyright and intellectual property issues, including development of the *amicus* brief filed on the pending *Texaco* litigation.

The 272-page book is available from the SLA, 1700 Eighteenth Street, NW, Washington, DC 20009; (202) 234-4700 (voice) and (202) 265-9317 (FAX). The price per copy is $40 for SLA members ($50 for nonmembers), prepaid by check, Visa, or Mastercard; shipping and handling is 5% of the total order plus $5 per order.

LIBRARY PROGRAMS FUNDING UPDATE

Unlike the House, the Senate restored library program funding though shifted funds between programs in the FY Labor–HHS–Education Appropriations bill. Changes include

- an increase of $5.4 million in HEA II-B, research and development of which $3.9 million is for "demonstration projects involving the digitization of research library collections and the development of related organizational tools for access to these digital resources," and
- $5.5 million in LSCA Title III, interlibrary cooperation, to "establish electronic library gateways for access to public, academic, and research library collections."

In addition, funds were retained in HEA II-B for a "statewide bibliographic database providing online and dial-in access through a fiber optic network housing a point of presence in every county and connecting library services in every municipality." Finally, the Senate Appropriations Committee directed the Department to use "$1.5 million to fund a research and demonstration project at a consortium of public, private, and special purpose libraries which are dedicated to joint planning and development in an urban, multistate environment." A House-Senate conference has not met to resolve differences between the two bills.

COMMUNICATIONS ACT OF 1994

On August 11, the Senate Committee on Commerce, Science, and Transportation reported a revised version of the Communications Act of 1994 (S. 1822). This version incorporates elements of the National Public Telecommunications Infrastructure Act of 1995 (S. 2195), which was introduced in June by Sen. Innouye (D-HI). For example, Section 103, Public Right of Way, would require that telecommunications networks reserve up to 5% capacity for public use, at incremental cost rates. Institutions eligible under this provision are public and non-profit libraries, educational institutions at all levels, and other non-profit organizations. Also, section 104, Public Access, requires that within one year of enactment of the legislation, universal service be available to public institutional users, including public and non-profit libraries. In testimony presented to the Committee on June 22, ARL along with other library and educational organizations, supported the concept of a reserve set aside or reserve capacity for libraries, educational institutions and public service providers. On June 28, the House passed companion legislation HR 3626, the Antitrust and Communications Reform Act of 1994. For background, see *ARL* 174.

Ed. note: Activities current as of August 19; reports prepared by Prudence S. Adler and Patricia Brennan.

FY 1995 LIBRARY PROGRAM APPROPRIATIONS

Status as of August 19, 1994
(amounts in thousands)

Program	**FY94 Appropriation**	**FY95 Admin. Request**	**FY95 House Passed**	**FY95 Senate Passed**
Library Services & Construction Act	$128,866	$102,976	$111,080	$ 134,372
I Pub. lib. services	83,227	83,227	83,482	83,227
II Library construction	17,792	0	0	17,792
III Interlib. cooperation	19,749	19,749	19,572	25,327
IV Indian lib. service	2% of LSCA I, II, and III			
V Foreign lang. materials	0	0	0	0
VI Library literacy progs.	8,098	0	8,026	8,026
Higher Education Act	$17,443	0	$6,416	$13,186
II-A College lib. tech. & cooperation	3,873	0	0	0
II-B Library education	4,960	0	4,916	4,916
II-B Library research & demonstrations	2,802	0	0	8,270
II-C Research library resources	5,808	0	0	0
II-D HBCU library & info. science	0	0	1,500	0

Office of Management Services

Susan Jurow, Director

Facilitation Skills Workshop

The Office of Management Services will offer its newest training institute on facilitation skills in Washington, DC, September 28-30. This program responds to member requests for assistance in developing meeting and team facilitation skills for in-house staff at all levels. Maureen Sullivan, OMS Organizational Development Consultant, and George Soete, OMS Adjunct Faculty, are the program designers and trainers.

As organizations and their environments grow in complexity, more of their work is accomplished by groups. In many organizations, leadership has become more dispersed among staff, and there has been a clear shift from what the management literature often calls "heroic" or "controlling" leadership to "facilitational" leadership. In such a model, the team leader or skilled in-house facilitator assumes a key role in helping groups produce better quality results, often in much less time.

The institute is designed to benefit anyone within a library organization who has a stake in improving group performance. Participants will be able to practice key skills in a comfortable workshop environment. There will be a focus on group process and group dynamics, with special attention to managing meetings, dealing with difficult behaviors in groups, and guiding groups through problem-solving and decision making processes designed to produce high-quality results.

Minority Recruitment and Retention Seminar

Kriza Jennings, Program Officer for Diversity and Minority Recruitment, will conduct a two-day session, "Implementing Minority Recruitment and Retention Strategies," November 1-2 in Washington, DC. The seminar will explore specific strategies that can be developed and employed in libraries and in partnership with library schools.

This seminar is based on the findings from site visits conducted over the past four years as part of the OMS Diversity Program. Ms. Jennings has explored a number of initiatives and strategies implemented by library schools and libraries, as well as those used by other disciplines. The program will include discussions of the components of an effective minority recruitment program with opportunities for participants to identify and explore specific challenges and barriers.

Search procedures, position advertising, candidate identification, and interviewing and recruitment strategies will be analyzed. In addition, the importance of preparing the library's climate for retention and how to assess one's climate is addressed. Detailed strategies for recruiting to the profession are also included.

OMS Training: Fall 1994

Library Management Skills Institute I: The Manager*
Harrisonburg, VA, September 18-21
Nashville, October 11-14

Facilitation Skills Workshop
Washington, DC, September 28-30

Library Management Skills Update I:
Building Effective Performance
Baltimore, October 4-5

Library Management Skills Update II:
Managing Priorities and Making Decisions
Baltimore, October 6-7

Redesigning ILL and Document Delivery
Washington, DC, October 10-12
Chicago, November 16-18

Human Resources Institute
Washington, DC, October 12-14

Implementing Continuous Improvement
Programs in Libraries
Boston, October 25-28

Implementing Minority Recruitment
and Retention Strategies
Washington, DC, November 1-2

Resource Management Institute:
Financial Skills for Librarians
Toronto, Canada, November 2-4
(previously Washington, DC)

Library Management Skills Institute II:
The Management Process**
Chicago, November 6-11

Women in Library Leadership
Washington, DC, November 7-10

* *formerly Basic Library Management Skills Institute*
** *formerly Advanced Library Management Skills Institute*

For more information on OMS Training Programs, contact
Gloria Haws, Training Program Assistant,
at (202) 296-8656 or via e-mail at gloria@cni.org.

Authors Needed

OMS invites proposals for 1995 SPEC Kits and OMS Occasional Papers. SPEC Kits organize selected documents, collected through surveys, on specific aspects of library management. OMS Occasional Papers present in-depth investigations and analyses of current library management practices and propose alternative models and systems for improved library effectiveness. Proposals are welcome on any topics related to the effective management of research library programs and resources. Topics of particular interest include: resource sharing; approval plans; integrated library systems; fees for services; library reorganization; reserve room operations; and, team management. Interested librarians should submit a one-page proposal along with a current vita and writing samples (samples need not be published) to Susan Jurow, Director/OMS.

STATISTICS & MEASUREMENT

Martha Kyrillidou, Program Officer for Statistics and Measurement

MELLON GRANT SUPPORTS STATISTICS AND MEASUREMENT

The Andrew W. Mellon Foundation has awarded a *grant of $19,000 to ARL in support* of an expanded Statistics and Measurement Program. The award will enable ARL to enhance its current hardware and software capabilities to develop an in-house statistical analysis unit. The Committee on Statistics and Measurement is in the process of specifying the objectives and defining an action plan to serve ARL's agenda in the area of academic library performance evaluation.

WILDER TO REVIEW ARL DEMOGRAPHIC DATA

Stanley Wilder, Assistant Dean for Technical and Financial Services at Louisiana State University Library, will serve as an ARL Visiting Program Officer. Working with Martha Kyrillidou, Program Officer for Statistics & Measurement, Wilder will study the demographic characteristics of library professionals by comparing 1990 salary data to 1994 salary data. In particular, he will examine: what percentage of ARL librarians can be expected to retire in each of the next 15 years; why the percentage of librarians in the 25 to 34 age group is so low; what relationship exists between age and years of experience among ARL librarians; and, whether the increased retirement rate will affect certain skill areas more than others.

ARL STATISTICS ON THE INTERNET

ARL Statistics, 1992-93, is now available electronically over the Internet. The first electronic publication of the ARL statistics on the World Wide Web (WWW) was prepared by Paul Bergen, John Price-Wilkin, and Kendon Stubbs at the University of Virginia's Alderman Library. Featuring reports on 48 data categories for the 108 university and 11 non-university members in ARL, the electronic publication is accompanied by fully documented descriptions of the 1992-93 data files. It also provides selected graphs.

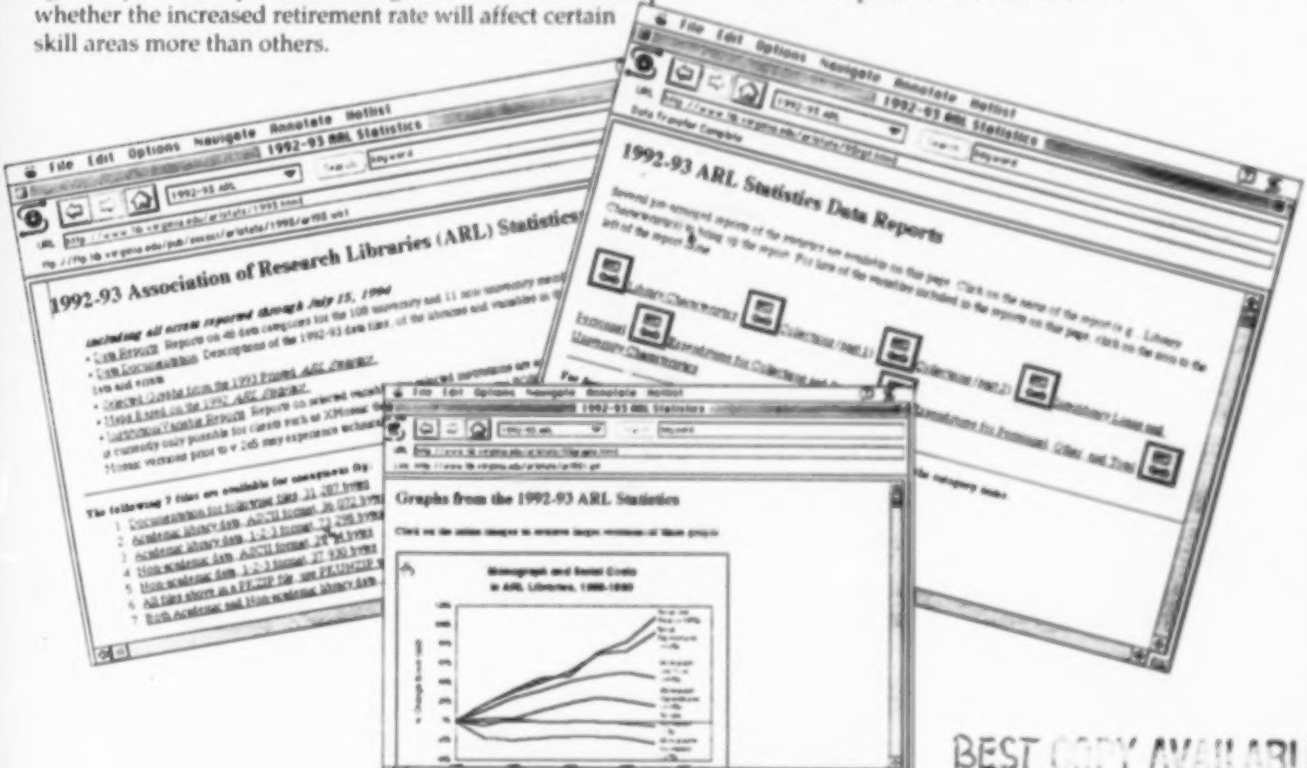
Future plans include the development of an interface for interactive data analysis that will permit users to calculate their own benchmarks and generate reports for their institutions and peer groups.

The URL (Uniform Resource Locator) for the ARL Statistics on WWW is:

http://arl.cni.org/
http://www.lib.virginia.edu/arlstats/

The 1992-93 datafiles are also available through both Gopher and ftp at the following places:

- Gopher to arl.cni.org, select Statistics
- Gopher to gopher.virginia.edu, select Library Services, then Social Science Data Center, then ARL Statistics
- ftp to ftp.lib.virginia.edu, login as anonymous, then cd to pub/socsci/arlstats/1993



1992-93 Association of Research Libraries (ARL) Statistics

1992-93 ARL Statistics Data Reports

Graphs from the 1992-93 ARL Statistics

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ARL ACTIVITIES

G. Jaia Barrett, Deputy Executive Director

NEH GRANTS

The following grants have been awarded by the National Endowment for the Humanities

UC-Berkeley: To train staff from California and Hawaii libraries in conservation of circulating collections.

UC- Riverside: To catalog 3,000 California newspaper titles as part the United States Newspaper Program.

Chicago: To catalog and microfilm 8,650 rare 19th- and early 20th-century literary texts and studies of classical and medieval Tamil literature.

Emory: To train staff from southeastern libraries in conservation of circulating collections.

Hoover Institution: To microfilm 37 collections of documents on the Russian Civil War, the American Relief Agency, and Russian refugees, 1919-25.

Illinois at Urbana: To preserve and treat damaged materials in history, languages, and literature, a cooperative preservation microfilming project among nine libraries of the Committee on Institutional Cooperation; to microfilm monographs in German and Latin American literature, American history before 1900 (including Lincolniana materials), and Irish history.

New Mexico: To microfilm 400 New Mexico newspapers as part of the United States Newspaper Program.

New York Public: To microfilm and repair volumes on the history and culture of the United States and the Caribbean.

New York State: To catalog and microfilm 5,000 New York newspapers as part of the United States Newspaper Program.

Notre Dame: To microfilm volumes on medieval languages and literatures.

Oklahoma: To microfilm records form the Cherokee Indian Nation and the personal papers of four Cherokee Indian families, dating from 1830 to 1907.

Oregon: To plan Oregon's participation in the United States Newspaper Program.

Stanford: To train Russian archivists and add records of Russian archival collections to RLIN (a cooperative project of the Hoover Institution, the Research Libraries Group, and the Russian State Archival Service).

Texas at Austin: To arrange, describe, and automate access to the archival records of the Alfred A. Knopf, Inc. publishing house.

Utah: To train staff from Mountain Plains libraries in conservation of circulating collections.

Washington: To train staff from Pacific Northwest libraries in conservation of circulating collections.

LATIN AMERICANIST PROJECTS RECEIVE MELLON FUNDING

In June 1994 the trustees of The Andrew W. Mellon Foundation approved funding for an array of projects in response to the challenge of constructing a hemispheric network to facilitate the study of Latin America.

Association of Research Libraries: To coordinate the development of a distributed network-based system among North American research libraries for acquisitions and document delivery of Latin Americanist library materials. (See page 4.)

American Historical Association: To continue work on a guide to manuscript collections in U.S. repositories dating from or pertaining to the Spanish colonial presence in the New World, 1492-1900. The funding will also allow the AHA to make the guide available in electronic form.

Library of Congress, Hispanic Division: To create an electronic version of volumes 1-49 of the *Handbook of Latin American Studies*. Volumes 50+ are already available in electronic form. This project is also being supported by funding from the Fundación MAPFRE América.

Universidad de Costa Rica: To implement a new integrated library system for the university's main campus and branch campuses that links with other libraries in Costa Rica.

University of Texas at Austin: To develop further the Latin American Network Information Center (UT–LANIC), an important gateway to databases on the Internet. The project will facilitate the use of UT–LANIC by more researchers in Latin America.

Consejo Latinoamericano de Ciencias Sociales (CLACSO) in Buenos Aires: To develop an integrated academic electronic network for CLACSO affiliates in Latin America and a distributed regional social sciences library.

University of Florida: To digitize and promote scholarly use of their collection of Caribbean newspapers, beginning with *Le Nouvelliste* (Haiti), 1899-1979, and *Diario de la Marina* (Cuba), 1844-1959.

Center for Research Libraries: For the Latin American Microform Project (LAMP) to digitize and promote scholarly use of national-level and provincial Brazilian government documents for the period 1830-1990.

University of New Mexico: To create an online database of economic information from Latin American and Caribbean countries. The database will consist of the full texts of selected print publications on economic issues produced in the region and tables of current and retrospective macroeconomic data on each country. — *Deborah Jakubs, Head International and Area Studies, Duke University Library*

NEW ELECTRONIC PUBLICATIONS FROM ARL GOPHER

ARL announces the following new publications on its Gopher server (arl.cni.org). Suggestions for additions should be directed to Dru Mogge, ARL Electronic Services Coordinator (dru@cni.org). Of particular interest is adding to the collection of member libraries' Vision Statements (seven currently reside on the Gopher).

- ARL Member Libraries
  - Vision Statements from ARL Libraries
- Scholarly Communication
  - ARL/AAUP Electronic Symposia
    - November 1994 Symposium
  - Directory of Electronic Journals, Newsletters & Academic Lists
  - Reports of the AAU Task Forces
- Information Policy
  - Intellectual Property Issues
    - ARL Statement of Intellectual Property Principles
    - Preliminary Draft: Intellectual Property and the NII (U.S. NII Task Force Report)
  - Testimony & Statements (1994)
- Access to Research Resources
  - ARL Statement on Information Access & Delivery Services: A Strategic Direction
  - Transforming the Reserve Function (Highlights from ARL/NACS Workshop and Forum)
  - Discussion on Electronic Reserves (public archive of ARL-ERESERVES List))
- Collection Development
  - ARL Foreign Acquisitions Project
- Preservation
  - ARL/CPA/NHA Statement on NEH FY95 Appropriations (testimony)
- Statistics & Measurements
  - ARL Statistics 1992-93. See also the ARL Web site (URL:http://arl.cni.org/).

TRANSITIONS

Case Western Reserve: Ray E. Metz is Interim Director.

Connecticut: Paul Kobulnicky was appointed Director of University Libraries effective September 1. Mr. Kobulnicky was previously Interim Director at Pittsburgh.

Guelph: John Black is currently on academic administrative leave and has announced his early retirement as Chief Librarian, effective September 1995. Mr. Black will continue to represent Guelph in ARL activities until his retirement; Ron MacKinnon was named Acting Chief Librarian.

Pittsburgh: Rush Miller was appointed Director, effective September 1. Mr. Miller was Director of Libraries at Bowling Green.

Utah: Roger K. Hanson has announced his retirement as Director of Libraries, effective December 31, 1995.

Yale: Scott Bennett was appointed Librarian and will assume the post October 1. Dr. Bennett was director of the Milton S. Eisenhower Library at Johns Hopkins.

***

Copyright Office, Library of Congress: Marybeth Peters was appointed Associate Librarian for Copyright Services and Register of Copyrights, effective August 7.

HONORS

National Library of Canada: Marianne Scott, National Librarian of Canada, was appointed to the Order of Canada.

***

In honor of newly appointed Deputy Librarian of Congress Hiram Davis, the ARL Board of Directors hosted a reception that drew an impressive array of colleagues and Library supporters from federal agencies, academic and public libraries, and the research and higher education community. Picture left to right are: ARL President John Black, University of Guelph; ARL Executive Director Duane Webster; Hiram Davis; Sen. Paul Simon, (D-Ill.); NCLIS Chair Jeanne Simon; and Librarian of Congress James Billington.

ARL

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September 1994

ARL CALENDAR

1994

October 18-21	**ARL Board and Membership Meeting Washington, DC**
October 31 – November 3	EDUCOM '94 San Antonio, TX
November 3-4	A New Frontier: The National Information Infrastructure SLA State-of-the-Art Institute Washington, DC
November 5-7	Filling the Pipeline and Paying the Piper AAUP/ARL OSAP Symposium IV Washington, DC
November 29-30	Coalition for Networked Information Fall Task Force Meeting Orlando, FL
November 29- December 2	CAUSE 94 Orlando, FL

1995

February 3-9	American Library Association Philadelphia, PA
February 9-10	**ARL Board Meeting Washington, DC**
April 10-11	Coalition for Networked Information Spring Task Force Meeting Washington, DC
May 17-19	**ARL Board and Membership Meeting Boston, MA**
October 17-20	**ARL Board and Membership Meeting Washington, DC**

ARL
A BIMONTHLY NEWSLETTER OF RESEARCH LIBRARY ISSUES AND ACTIONS

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NII and Copyright 7
OMS Diversity Seminar 10

Current Issues

GIS* APPLICATIONS IN RESEARCH LIBRARIES

by Brent Allison, Head, John R. Borchert Map Library, University of Minnesota

For over two years, a quiet revolution has been taking place in many ARL libraries. Under the stewardship of ARL Assistant Executive Director Prudence Adler, the ARL GIS Literacy Project has expedited the introduction of GIS (Geographic Information System) and computer mapping as tools for the acquisition, display, analysis, and dissemination of spatial data into research libraries.

Collaboration with others in the public and private sectors is a key element of the project and has been instrumental to the successful integration of GIS services and resources in libraries. From its inception, the project and participating libraries have benefited from software, training, technical support, and the leadership role provided by Environmental Systems Research Institute, Inc. (ESRI) and ESRI's President, Jack Dangermond. Data has been donated by ESRI, Wessex, GDT, and National Decision Systems, Inc. The most recent donation is from ERDAS, the leading vendor of image processing software. Financial support for the project has been provided by the H.W. Wilson Foundation and the Association of American Geographers.

The increasing reliance upon GIS by multiple communities including government agencies and members of the academic and research communities signaled the need for research librarians to become effective users and instructors of GIS. Perhaps the most pressing impetus for the GIS Literacy Project was the need for libraries to provide access to statistical data from the 1990 decennial Census of Population, including maps showing the spatial distribution of the data. Unlike previous census undertakings, the 1990 endeavor did not include the distribution of printed maps; rather, the base maps and the statistical data were distributed in digital format, requiring libraries to acquire hardware and software to facilitate the creation of printed maps. While the digital format ultimately provides library users with maps much more tailored to their particular needs, many institutions lacked the expertise and training to select and implement the most appropriate hardware and software. Enter ARL.

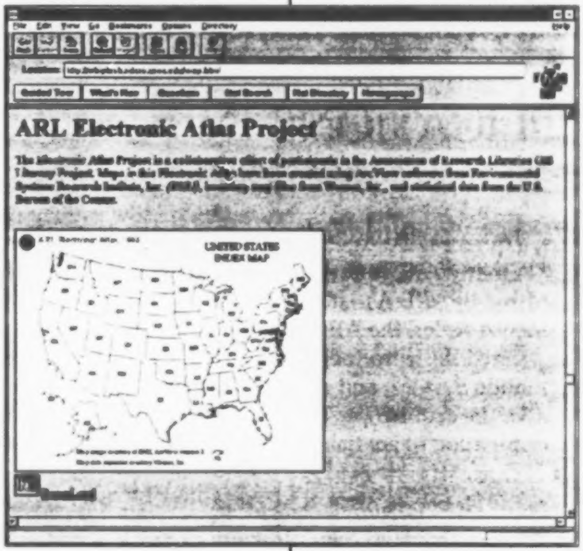
**GIS, or Geographic Information System, is software with the capability of manipulating and analyzing spatially referenced data to create maps, images, or charts that reflect the relationship of data elements to geographic reference points.*

The ARL GIS Literacy Project provides a framework and a forum for research libraries to introduce, experiment, and engage in GIS activities. ARL, in cooperation with GIS vendors and users, solicits donations of GIS software and data, organizes and sponsors regular training sessions for project participants, sponsors an e-mail list for participants, and works with government agencies on GIS programs and related issues. Originally envisioned as a one-year project for 25 research libraries, the initiative was expanded in order to include more libraries. The project is beginning its third year with almost 70 U.S. libraries participating and a new phase, focused on Canadian research libraries, is under development. A diversity of libraries is well represented in the GIS Literacy Project — academic, public, and state libraries are participating.

Continued

No one model has emerged with respect to the introduction of GIS in libraries as each library has designed a program to meet local information needs and requirements. The GIS programs at the University of Minnesota John R. Borchert Map Library, the New York State Library, and the University of California, Santa Barbara are illustrative of the range of GIS activities in participating libraries.

With funds from the Department of Education HEA Title II Program and the University of Minnesota, the University Library established the Automated Cartographic Information Center (ACIC). With 10 workstations, ACIC provides a range of technological choices and access to local, national, and international datasets for patrons to use. With ambitions to accommodate as many patron needs and levels of expertise as possible, the ACIC will serve as the University's initial gateway and a principal GIS resource for students, faculty, community groups, individuals, and businesses.



The New York State Library instituted a GIS program in cooperation with other programs within the State Department of Education, including the New York State Museum's Biological Survey and the New York State Archives and Records Administration. The State Library's focus has been on acquiring and providing access to GIS resources, with a particular emphasis on state information resources. For example, a cooperative effort with the State Archives and Records Administration's Documentary Heritage Project linked statistics from the Census Bureau with New York state geography at the county and municipal level to produce thematic maps which graphically demonstrate the locations of immigrant populations.

The Map and Imagery Laboratory at the University of California, Santa Barbara, has a long history of providing access to spatial information and working with the GIS community. As a recipient of one of the NSF/ARPA/NASA Digital Libraries grants, the University will, in collaboration with multiple public and private partners, develop a digital library providing easy access to large and diverse collections of maps, images, and pictorial materials as well as a full range of new electronic library services. The project will begin with collections of digitized maps, images, and airphotos relating to Santa Barbara, Ventura, and Los Angeles Counties using software developed for geographical information systems. Over four years, the project will grow to include other components at UCSB, SUNY-Buffalo, the Library of Congress, the United States Geological Survey, the St. Louis Public Library, and other interested institutions.

A recent Project initiative is the ARL Electronic Atlas, an Internet-accessible resource to be developed collaboratively by participating libraries. Modelled after *The Urban Atlas* series produced by the U. S. Bureau of the Census utilizing 1970 census data, the ARL Electronic Atlas will initially concentrate on presenting maps depicting data from the 1990 U.S. Census for major metropolitan areas. Each library will focus on selected urban areas for which they will construct and contribute maps of demographic, income, education, race, and employment variables. Imagery will also be included in the Atlas. The Atlas will build on state atlases under development.

The breadth of data in ARL libraries goes far beyond that provided by the U.S. Bureau of the Census; the ARL Electronic Atlas will reflect this variety with plans to include environmental data (e.g., Toxic Release Inventory), crime statistics, agricultural data, and business patterns.

The potential audience for the ARL Electronic Atlas is as vast and far flung as the Internet or World Wide Web. Particularly, the Atlas should prove useful to other research libraries, public libraries, secondary and elementary school students, and researchers around the world. In addition to being available over the World Wide Web (through clients such as Mosaic or Netscape), users will also be able to access the ARL Electronic Atlas with Gopher or through anonymous FTP. A prototype of the atlas is currently available through Mosaic at the URL http://whiplash.micro.umn.edu/map.html. It will be edited by Brent Allison, University of Minnesota. An advisory group that includes project participants, faculty, and members of ESRI staff are developing guidelines for the Atlas.

In a few short years, the Association of Research Libraries and its constituent member libraries have met the challenge and are now optimally situated to provide access to the burgeoning array of digital cartographic and spatial information.

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COURT RULES IN TEXACO FAIR USE CASE

On October 28, a Federal appeals court ruled that the Texaco Corporation violated copyright laws because of the circumstances surrounding the photocopying of certain journal articles. The decision was the latest step in a nine year old case (*American Geophysical Union v. Texaco*) in which six journal publishers, on behalf of other publishers registered with the Copyright Clearance Center, charged Texaco with illegal photocopying, specifically claiming that Texaco failed to provide fees to the publishers for copies of the articles. Texaco defended its actions by claiming, among other things, that the copying was a fair use under section 107 of the Copyright Act.

A initial ruling in 1992 against Texaco led to an appeal to the U.S. Court of Appeals for the Second Circuit. ARL and thirteen other organizations in the library and higher education community filed an amicus curiae, or friend of the Count, brief in that appeal. The purpose of that collective action was to elucidate and reaffirm fair use rights permitted to scholars and researchers in the conduct of research and education. Texaco has announced plans to petition for a re-hearing.

ARL 164 *included excerpts of an analysis of the initial ruling against Texaco and its impact on research and higher education libraries;* ARL 167 *contained a summary of the amicus brief argument. An Internet resource of materials related to the Texaco case and copyright in general is available on the ARL Gopher (arl.cni.org).*

AAU-ARL RESEARCH LIBRARIES PROJECT ENGAGES NEW STEERING COMMITTEE

Embarking on follow-up to the AAU Task Force reports issued in April, the AAU–ARL Research Libraries Steering Committee held its initial meeting on October 17 at the University of North Carolina, Chapel Hill during the membership meeting of the AAU. The newly formed steering committee reviewed overarching issues related to each of the three Task Forces and considered approaches to promote implementing the agenda.

Foreign Language and Area Studies: The Steering Committee commended the energetic work to date, including formation of working groups and electronic discussion lists for the Latin America, Germany, and Japan implementation projects, and identification of specific organizational sponsorship for each project. It will monitor the progress of the three projects and be prepared to advise and support as needed.

Intellectual Property: As the agreed-upon, lynch-pin issue for universities over the next few years, intellectual property aroused the most intense discussion. The AAU-IP Task Force was re-conceptualized to serve as an advisory group to the AAU and ARL on matters of copyright (complementing a new AAU Technology Committee). The proposed membership for the reconstituted IP Task Force was approved with Peter Nathan (Provost, University of Iowa) being asked to chair again. Everyone recommended that the idea of working "in some haste" be conveyed.

STI: Next-steps discussions for STI proved the most complex. Policy vs. project-based approaches were discussed, with a consensus that 1-2 projects (in addition to the Japan STI project under the aegis of Foreign Language and Area Studies) should be identified. Discussion focused on potential collaborations in defining and shaping such projects and included: the National Academy of Engineering; the National Academy of Science; major science societies such as APS, ACM, AMS, etc.

Further agenda topics included: engaging the academic community in the agendas outlined by the three Task Force reports; funding for pursuit of the agenda; and a report on a recent Columbia Working Group meeting (report to follow in next issue of *ARL*). Collaboration was the underlying theme, with emphasis on working closely with campus faculty, reaching leaders of partner organizations such as national academies, scholarly societies, and university presses.

International collaborations loomed large. AAU and ARL have both connected with the implementation group of the U.K. Higher Education Funding Council's recent report (Follett Commission) and ARL has been in touch with interested parties in Australia representing the Australian Vice-Chancellors' Committee. A cooperative framework for sharing information and strategies has begun to be developed through recent meetings in U.K. and U.S. offices of the above groups.

-Ann Okerson

AAU-ARL Research Libraries Steering Committee

AAU Representatives:
- Myles Brand, Indiana University, Co-Chair
- Harold Shapiro, Princeton University
- Robert Pritchard, University of Toronto
- Peter McPherson, Michigan State University
- Donald Langenberg, University of Maryland

ARL Representatives:
- Jerry Campbell, Duke University, Co-Chair
- Betty Bengtson, University of Washington
- Susan Nutter, North Carolina State University
- Elaine Sloan, Columbia University
- Robert Wedgeworth, University of Illinois at Urbana

COORDINATED MANAGEMENT PROPOSED FOR FOREIGN LANGUAGE AND AREA STUDIES COLLECTIONS

At its October meeting, the ARL Research Collections Committee approved a draft *Strategic Plan for Improving Access to Global Information Resources in U.S. and Canadian Research Libraries.* The goal of the plan is to restore the range of significant foreign publications to North American collections of books, serials, and other forms of scholarly information necessary to support research, teaching, and scholarship.

Given the advances in storage of electronic data, connectivity, and proliferation of electronic publishing, the members of the Research Collections Committee believe that ARL libraries have unparalleled opportunities to work together to develop a program for cooperative collection management of international research resources. They also believe that this collaboration should be guided by an overarching vision and undertaken in continuing collective consultation. The draft plan proposes strategic directions for creating a network-based, distributed program for coordinated collection development of foreign language, area, and international studies materials among U.S. and Canadian research libraries.

The plan articulates a series of goals. Three primary goals center on:

- enhancing the capabilities of North American research libraries to acquire and make available global information resources;
- broadening the aggregate breadth and depth of coverage of global information resources; and
- achieving effective network-based access to global research materials.

Other goals in the draft plan are: developing the management structure for overseeing and guiding the technical and policy aspects of the evolving program; developing and maximizing financial resources for building and maintaining the North American distributed collection of global resources; and, strengthening collaborative programs with foreign libraries, archives, and information services.

The major strategies involve organizing and implementing a North American distributed, networked program for acquiring and delivering global information resources; forging partnerships with scholarly associations, such as the American Council of Learned Societies and other higher education groups, to focus national attention on supporting research libraries to acquire and deliver global information resources; and developing the infrastructure to acquire, store, and distribute large collections of digital information.

This is a dynamic plan that will serve as a compass in restructuring research libraries in the context of electronic resource sharing. The committee presented the draft plan to the ARL membership at a plenary program session in October and has invited extensive review and comment. The draft plan is also available on the ARL Gopher. Comments may be sent to Dale Canelas, Director, University of Florida Libraries and Chair, Research Collections Committee (dbcufla@nervm.nerdc.ufl.edu), or to Jutta Reed-Scott (jutta@cni.org), Senior Program Officer for Preservation and Collections Services. *-Jutta Reed-Scott*

SHAPING THE ARL PRESERVATION AGENDA

The ARL Preservation of Research Library Materials Committee, at its last two meetings, has focused on the development of a new five-year preservation action plan. The plan will be based on recommendations made by the ARL Preservation Planning Task Force (PPTF). The PPTF was established following a May 1992 Preservation Planning Conference, co-sponsored by the University of Chicago Library and ARL. The PPTF charge was to clarify the preservation needs discussed at the conference and to fashion strategies for addressing those needs.

A central theme in the report issued by the PPTF is the complex web of local, regional, and national initiatives that contribute to current preservation efforts in the United States and Canada. The report outlines the preservation goals and objectives of major organizations in North America that are national in scope, identifies an array of unmet preservation needs, and proposes a series of actions for consideration by the ARL Preservation Committee. The PPTF Report is available on the ARL Gopher or from ARL.

In considering ARL's preservation agenda, the Preservation Committee is focusing on activities that complement ARL's capabilities and that most effectively support member libraries' efforts to preserve research collections, both individually and in the aggregate. The committee will complete work on the ARL preservation action plan by May 1995. *-Jutta Reed-Scott*

OFFICE OF SCIENTIFIC AND ACADEMIC PUBLISHING

Ann Okerson, Director

SERIAL CANCELLATION RATE PREDICTED TO DROP FOR 1995

According to a short survey completed by 91 ARL member libraries in October 1994, less than half are planning to cancel serial subscriptions for the 1995 calendar year. In each of the previous four years, over half of responding members signalled their intent to cancel serials; this fall 40 out of 90, or 44%, plan to do so.

Every fall, ARL/OSAP issues a Quick SPEC survey to determine how ARL member libraries plan to allocate their acquisitions and serials purchases in the new budget year. ARL members are asked a few general book/serial purchasing questions and then have the opportunity to expand on any of their answers. Results have been published for five years in a row, in a year-end issue of the ARL newsletter (most recently *ARL 172*, January 1994). A summary of this year's responses follows.

In the new budget year, are you:

1. **Trimming monographic purchases?**
   32 Yes   58 No   1 No Answer

2. **Cancelling serial subscriptions?**
   40 Yes   50 No   1 No Answer

   If yes, approximate dollar amount of cancellations:
   Thirty two of the libraries indicated amounts which totalled about $3.5 million. If all 40 cancelling institutions cancelled at this average rate of about $110,000 per institution, the serials cancellations in ARL libraries for 1995 would be about $4.4 million. At the same time last year, ARL members reported a planned $8 million in cancellations.

b. **Are you targeting specific publishers?**
   ARL libraries do not appear to be looking at any particular publishers in the cancellation process.

c. **Are you targeting specific disciplines?**
   15 Yes   30 No   46 No Answer

   Sciences:
   12 Yes   0 No   79 No Answer

   Social Sciences:
   5 Yes   4 No   82 No Answer

   Humanities
   3 Yes   5 No   83 No Answer

Monographs Revisited

The symbiotic relationship between funds expended on serials and funds *not* expended on monographs, was evident again in this year's comments. Some respondents referenced an ability to buy more books because of having cancelled — or planning shortly to cancel — a number of serial titles. Where the ability to buy books shrank yet again, the loss was attributed to high serials prices. Cutting back on approval plans or moving to "slips" was the strategy of several ARL libraries. While a handful of libraries specifically said they had received enough money for their book purchasing needs, a more common plaint was a loss of 20-30% of buying power. In a particularly precise vein, one library was given an amount for acquisitions identical to last year's budget — plus 54% of inflationary level.

Serials Observed

While specific publishers were not being targeted, specific high-priced disciplines in the sciences were. The obvious reason was stated: cancellations in higher-priced fields and titles yield money for new and needed titles. The good news is that this is, in fact, exactly what many libraries do: invest savings in new journals, if not books. Additional categories for scrutiny and cancellation included scientific translation journals, indexing & abstracting services, staff (library science) titles, and foreign newspapers. The biggest concern was about how to treat subjects and readers fairly in the by now routine cancellation process.

Impact on Collections

Anticipating the North American distributed collections that will evolve in at least some areas that are the focus of current AAU and ARL (and many other) initiatives, one senior officer wrote, "Collection coordination becomes more and more imperative as libraries cancel serial titles. As we purchase more and more electronic products and rely more and more on ILL and document delivery, the poverty of some collections becomes apparent. There needs to be coordination of resources. Unique titles should be held on a regional basis and everyone should be aware of where they are and how to best access them. Our university will no longer support double-digit increases so we need national support of acquisition funds and efforts to coordinate purchases."

In order to see if the rather more optimistic results of the 1994 survey bear fruit, readers will have to consult the *ARL Statistics 1994-95*. This Quick SPEC survey represents intentions in advance and serves as a weathervane for member purchasing plans. The final outcomes will be reported by ARL members in the last quarter of 1995, to be published in ARL's annual compilation of statistics in the first quarter of 1996.

- Ann Okerson (Survey tabulated by Lisabeth King, Research Assistant, OSAP)

FEDERAL RELATIONS

Prudence S. Adler, Assistant Executive Director-Federal Relations and Information Policy

NII, FEDERAL FUNDING, AND RESEARCH STRATEGIES

In September 1993, the Clinton-Gore Administration released *The National Information Infrastructure: Agenda for Action*. The NII Agenda consists of a series of proposals that will advance the development of the NII. These proposals range from rewriting the Communications Act of 1934 to shifting federal R&D priorities to promote networked-based access to information. The Administration's interest in the NII is best illustrated through its funding priorities.

Within the past year, three programs relating to applications and research and development have provided significant funding to jump start the Administration's vision. These programs include the joint initiative of the National Science Foundation, the Advanced Research Projects Agency, and the National Aeronautics and Space Administration (NSF/ARPA/NASA) Research on Digital Libraries, the NASA Information Infrastructure Technology and Applications program (IITA), and the National Telecommunications and Information Administration (NTIA) Telecommunications and Information Infrastructure Assistance Program (TIIAP). The common goal of each of these programs is to accelerate the development of the NII through collaborative public/private partnerships.

NSF/ARPA/NASA Digital Libraries Initiative

The three agencies are providing $24.4 million to six university-led projects that are funded for four years at up to $1.2 million per year, per award. The projects span a variety of disciplines and include multi-sector participation. There are four primary goals of the Initiative:

- fundamental research;
- technologies development and demonstration including experimental testbeds and prototyping;
- new applications, e.g., new knowledge networks and information services; and
- community influence and presence to elicit broad participation by a diverse set of client groups.

As noted by Thomas Kalil, National Economic Council, at the fall ARL meeting, digital libraries are one of the "drivers" for the NII, and the Digital Libraries Initiative is central to the Administration's vision. Follow-up to these awards include broadening the research base, extending the partnerships on local, state, national, and international basis, and developing new funding sources. Awardees include Carnegie Mellon University, University of California, Berkeley, University of California, Santa Barbara, University of Michigan, Stanford University, and University of Illinois at Urbana.

NASA's IITA

NASA's IITA program funds projects in several areas: digital library technology, applications of remote sensing images via the Internet, education, training and lifelong learning, and aerospace design and manufacturing. Unlike the joint NSF/ARPA/NASA Digital Libraries Initiative, six NASA digital library technology awards and nine awards for remote sensing database applications are focused on the dissemination of NASA science data. A total of $20 million was provided to support these 15 projects in applications and technologies. Examples of the digital library technology projects include research on improving the rate at which large digital images can be transferred across the network and development of systems for content retrieval on compressed images. The remote sensing database applications are focused on innovative projects for the public and commercial use of national remote sensing data assets. The focus of NASA's lifelong learning efforts is a K-12 outreach program that includes curriculum development and Internet-based activities. This program is integrally linked to the digital library technology and remote sensing database efforts. Additional solicitations are anticipated in late FY1995 and early FY1997.

NTIA's TIIAP

Unlike the other two programs, the NTIA TIIAP is not focused on high end research. Instead it is focused on empowering public institutions and seeks to promote the development and use of telecommunications technologies in support of the delivery of social services, to increase civic participation, and to promote access to government information. In FY1994, TIIAP awarded $24.4 million to 92 projects, including five library projects. An award to the San Francisco Public Library is illustrative of the type of projects that the TIIAP hopes to spark. The library will receive $245,000 to support the development of a comprehensive city and county information system. The project will deliver social services, including health care, culture, and education. $64 million will be available in support of the TIIAP in FY1995.

NII AND COPYRIGHT

ARL Responds to Report on Intellectual Property Rights

The Working Group on Intellectual Property Rights of the Information Infrastructure Task Force (IITF) released a draft of *Intellectual Property and the National Information Infrastructure* in July (see *ARL* 176, p. 10). Although the draft report noted that only "minor changes" to the Copyright Act of 1976 are necessary, a careful reading of the report surfaced recommendations that, if implemented, would dismantle the current balance between the rights of copyright owners and those of libraries and users of proprietary information.

In a written response to the Working Group, ARL agreed that "no more than minor clarification and amendment to the Copyright Act is needed at this time. We do disagree, however, with many of the modifications proposed by the Working Group. We find that, in sum, the clarifications proposed reflect the interests of the copyright owners without similarly reflecting the needs of users." ARL's letter highlighted issues of concern and made three recommendations for the Working Group to consider in their deliberations.

The issues of greatest concern to ARL were summarized as a need for the Working Group to retain a balance of interests between the rights of copyright owners and users, and to retain fair use and specific library reproduction and distribution rights in the NII. ARL recommended that the final report:

- include a statement specifying the opportunities and benefits to research and education that will emerge as a result of any recommended changes to the Copyright Act and the deployment of the NII;
- strengthen library provisions of the Copyright Act to support preservation activities and, if any new right is accorded to copyright proprietors, ensure that concomitant exemptions are provided for including existing exemptions for library reproduction and distribution; and
- call for a second National Commission on New Technological Uses of Copyrighted Works.

ARL's response to the Working Group was also presented at a hearing by Gloria Werner, University Librarian, UCLA. ARL's position on the draft report was endorsed by the National Humanities Alliance and the same concerns were shared in responses filed by a number of other library organizations.

ARL with ALA also filed "Reply Comments" on the draft report. These comments were in response to statements filed by other associations such as the Association of American Publishers, the Authors League, and others. ARL and ALA comments focused on several issues: balancing of rights, licensing, first sale doctrine, transmission rights, liability issues for service providers, library exceptions, and fair use. The ARL response and the ARL-ALA reply are available via the ARL Gopher (arl.cni.org).

IITF Convenes Three Fair Use Subcommittees

In addition to releasing the draft report, the Working Group on Intellectual Property Rights sponsored a September conference on fair use issues and launched a series of subcommittee meetings to examine and develop guidelines regarding fair use and the National Information Infrastructure (NII) in library, university, and elementary/high school settings. Subcommittees were established for each of the settings with memberships comprising representatives from the library, publishing, multimedia centers, software publishing, educational communities, and others.

The Working Group envisions its role in these deliberations as one of a facilitator and convenor. The goal as stated by Bruce Lehman, Assistant Secretary of Commerce and chair of the Working Group, is to develop consensus guidelines for each of these communities of users. Depending upon when and if consensus is reached, the guidelines could be endorsed by the Working Group and included in their final report on the NII and intellectual property rights.

Common issues emerged from each of the subcommittees during the first round of meetings held in October. Some of the issues identified by the subcommittees requiring examination and discussion include: reproduction of "accessible" versions (e.g. Braille, large character); distance learning; electronic reserves; electronic document delivery; interlibrary loan; preservation (refreshing electronic information and scanning conventional text); transient copying on networks; software in libraries; archives of images and integrity of works of art; encryption; impact on writers/copyright owners of accelerated dissemination; browsing; personal use copying including downloading and printing; and, what is a classroom? a library?

Participants in the subcommittee meetings agreed to develop issue papers on each of these topics. The papers will explore both current uses and experiments as well as those likely to emerge in the NII. These papers and ensuing discussions will serve as the basis for understanding the terminology and uses unique to each stakeholder community. They will also provide a framework for future discussions concerning the development of fair use guidelines.

The final report from the Working Group is expected in mid-1995 and will include legislative recommendations for revisions to the Copyright Act of 1976.

COALITION FOR NETWORKED INFORMATION

Paul Evan Peters, Executive Director

WORKING TOGETHER

The Coalition for Networked Information held "Working Together: A Planning Retreat for Library and Information Technology Professionals" on October 5-7 in Washington, DC. The retreat provided an opportunity for a small number of institutional teams of librarians and information technologists to develop techniques to increase the effectiveness of collaborative efforts and to begin a planning process for specific collaborative projects.

The retreat attendees found much common ground and benefited from shared perspectives. Early in the retreat, after the participants had been introduced and their job functions and critical issues they faced had been described, one individual commented, "If I didn't listen carefully during the introduction, I couldn't always tell whether the person was a librarian or an information technologist." Common themes identified by all institutions were that their organizations were in transition and they were struggling to marshall resources to provide the best services to their users.

One of the goals of the Coalition is to integrate efforts to support the overall information resources and services mission for the entire academic institution. By providing opportunities for senior administrators of libraries and senior administrators of information technologies in higher education institutions to work together in a common enterprise directed toward a shared future, the Coalition hopes to advance progress in this area. Many of the Coalition's member institutions have institutional programs in which teams of individuals from the library and computing center work collaboratively to develop campus information resources and/or deliver campus information services. Those institutions who do not have such collaborative relationships often would like to develop them. This workshop offered an intensive, participant-oriented environment, using case studies and a variety of participative techniques to help foster collaborative projects.

This was the first time that this workshop was offered, and it was targeted to reach senior administrators of libraries and computing centers in larger universities. Most institutions sent teams of four individuals. Participating teams met in advance of the workshop to identify their current and potential areas of collaboration. While prior experience with collaboration was not required, all attendees at the retreat had experience in collaborating on their campus and were interested in building on those experiences.

The workshop content was developed by Susan Jurow, Director, Office of Management Services, Association of Research Libraries and Gerry Bernbom, Assistant Director and Senior Information Technology Architect, Office of Information Technology, Indiana University, who also served as facilitators of the workshop. They worked with a planning group composed of the leaders of the Coalition's Working Group on Management and Professional Development, Meredith Butler, State University of New York at Albany and Martha Fields, State University System of Florida; and with Susan Perry, Mount Holyoke College, Julia Rudy, CAUSE, and Joan Lippincott, Coalition for Networked Information. Sheila Creth, University of Iowa, and a former leader of the Management Working Group, was also involved in the early stages of the project.

The two day retreat had the following objectives:

- to assist institutional teams in working together as partners;
- to provide teams an opportunity to begin or build on existing joint efforts; and,
- to provide participants an opportunity to share experiences and learn from one another.

In their introduction, the facilitators noted that they had four primary assumptions when they prepared for this workshop:

- that ultimately, the participants are collaborating for the good of their users and institutions;
- that collaboration is inherently good; jointly developing solutions to problems is effective and allows groups to share risks;
- that librarians and information technologists have overlapping areas of work; and,
- that we can get better at collaboration with the assistance of some systematic training.

Attendees participated in a variety of activities to increase their understanding of the factors that lead to successful or unsuccessful collaboration. These included an environmental scanning exercise in which they identified major trends affecting technology and/or higher education, a force field analysis that provides a framework for understanding what moves people towards a goal and what mitigates against achieving a goal, analysis of case studies, and planning exercises.

As a product of the force field analysis, participants identified the following factors as motivating them to collaborate: common goals, clients, and tools; leveraging economic and staff resources; assisting to attract outside grants; growing interdependence; providing better, integrated services; and, management pressures.

Forces hindering collaboration included: different attitudes towards change; different levels of technology awareness; desire to control one's own resources; the need to support the core services of one's unit; governance; the budgeting process; not understanding the other organization; not understanding the expertise of the other area; and, lack of appreciation for the skills of counterparts. There was concensus among the participants that the forces motivating collaboration were more powerful than the forces hindering collaboration.

Some of the kinds of projects that participants identified for current or future types of collaboration included: training and user support, developing an electronic reference desk, organizing resources using WWW, developing campus wide information services (CWIS), joint outreach to faculty, electronic publishing, establishing assessment measures for services, joint publications, educating the university's administration, attracting external funding, designing user interfaces, library automation, joint planning, and CD-ROM implementation.

Each institutional team examined environmental forces, reviewed their partnership potential, analyzed the range of partnership possibilities, and mapped a course of action. They used the analytical techniques suggested by the facilitators to provide insight in order to develop a framework for future action. A snapshot of the team reports revealed some of the insights the participants gained from the retreat process. One institution's participants felt that the retreat gave them an opportunity to analyze what they had been doing, and they found they have been on the right track. They planned to return to their institution and involve people at all levels. They reaffirmed that both library and computing units are serving the same user community and are both providing information and information services to their community. They agreed to broaden the focus of their future projects.

Participants from another campus found that the culture of their two units is different, particularly in the areas of decision-making and communication. They had an increased understanding of those variables and how to manage them in collaborative processes.

Some common themes were the need for better communication and communication deeper in the organizations, the need to address larger planning and budget issues, and the need for commitment of resources from upper level management. One participant commented that the entire environment is changing, and just a small group working on these issues within the organization is not enough. There is a need to develop collaborative skills into a much larger number of existing staff. Another participant commented that it is important to use a process to focus on a range of issues affecting libraries and computing centers and not just focus on single projects.

The facilitators emphasized that while a brief retreat would focus attention on partnership opportunities, success entails supporting collaborations over time. They suggested focusing attention on developing appropriate skills, focusing on effective communication, interpreting efforts to staff at all levels and to the university administration, and integrating the project into the organizational structure.

The Coalition has sponsored a number of projects that have involved collaborative teams These include: University Presses in the Networked Information Environment, Dissertations, the New Learning Communities Conference, Exemplary Uses of Networks, and Networked Information in Teaching and Learning.

The Coalition anticipates offering a Working Together retreat in the spring, focusing on small colleges. In addition, the Coalition will consider requests to offer the retreat for a campus or a regional group of campuses.

-Joan Lippincott, Assistant Executive Director

COLLABORATION

Collaborative implementation of networked information projects is hot.

- The recently announced NSF/ARPA/NASA Digital Libraries grants were all to projects submitted by teams composed of many inter- and intra-institutional sectors.
- The Fall 1994 issue of CAUSE/EFFECT took collaboration between librarians and information technologists as its theme and included articles on such topics as collaborative user services, collaborative facilities, and collaborative professional development programs.
- As part of the preparation for the issue, CAUSE issued a request for examples of library/computing center collaboration. They received many project descriptions which are available on the CAUSE Gopher server (cause-gopher.colorado.edu) in the CAUSE/EFFECT folder, under CAUSE publications.
- Programs on collaboration have been and will be featured at the EDUCOM, CAUSE, CAUSE/CNI Regional Conference, and Coalition Task Force Meetings this Fall.

OFFICE OF MANAGEMENT SERVICES

Susan Jurow, Director

DIVERSITY SEMINAR

Kriza Jennings, Program Officer for Diversity and Minority Recruitment, will facilitate a one-day seminar entitled "Advancing Diversity with Committees, Staff Positions, and Strategic Plans" on Friday, February 3, in Philadelphia. The OMS definition of diversity is not limited to racial or ethnic descriptions; it encompasses a broad definition recognizing and valuing all elements of human diversity.

In her work with ARL libraries, Ms. Jennings has found several effective strategies that promote and advance diversity agendas within libraries, and more importantly, engage individual staff as well as departments and divisions. The development of diversity committees to celebrate and explore diversity and/or the addition of multi-cultural services or diversity librarians, are two strategies that have proven to be very effective. In the seminar Ms. Jennings will provide examples of how libraries around the country have used these approaches and will offer "tips and traps" for implementing such programs. She will also be prepared to consult on initiatives already underway and to offer suggestions for how these might be improved and enhanced.

The research conducted by the OMS Diversity Program has found that a diversity project cannot be undertaken as a set of separately conducted activities, but must be integrated into all of the library's plans and activities. The OMS Diversity Program also promotes the integration of diversity issues and objectives into all library committees and the library's strategic plans for all departments and divisions. The seminar will include suggestions for how diversity relates to collections, services, programs, and other elements of the library's operations. The discussions will also explore strategies for responding to resistance.

This seminar will be of interest to those institutions that have already begun library-wide strategies and wish to assess their progress or learn new ideas for how they might proceed. It is also appropriate for institutions considering the implementation of a library-wide diversity program.

Contact Marianne Seales, ARL Program Assistant, for registration information (marianne@cni.org). The seminar fee is $125 for ARL member institutions. It is possible to arrange for your institution to be billed for the registration fee.

HUMAN RESOURCES INSTITUTE

Twenty seven participants attended a new OMS program, the Human Resources Institute, in Washington, DC, on October 12-14. Conducted by Maureen Sullivan, OMS Organizational Development Consultant, and Wendy Scott, Librarian for Professional Development and Education at the North Carolina State University Libraries, the Institute gave participants the opportunity to examine trends and issues in human resource management in libraries. The agenda included topics such as transforming organizational culture and building a learning organization. Michael Aitken, Director of Government Relations at the College and University Personnel Association, provided an insider's look at higher education issues and current federal legislation.

For many of the personnel officers in attendance, the Institute was a rare opportunity to focus on changing roles and expectations for their departments and themselves. Other library managers in attendance found that the Institute provided insight into the increasingly complex and vital issues of human resource management. -*Wendy Scott, North Carolina State University Libraries*

OMS SPEC INDEX AVAILABLE VIA THE INTERNET

OMS announces the availability of the *Subject Index to SPEC Kits in Print, 1973-1993* both in paper and electronic format on the ARL Gopher (URL:gopher://arl.cni.org/arl/pubs/spec). SPEC Kits and Flyers are the compiled results of a series of surveys on current library practice and management within the ARL membership. New and expanded subject areas in this edition include automation, benefits, bookbinding, collection development, computer printing technology, information systems, insurance, interlibrary loan, performance appraisal, public services, and resource sharing.

The printed version of the *Subject Index to SPEC Kits in Print, 1973-1993* is available for $10 ($7.50 ARL members), shipping and handling included. Send prepaid orders or information requests to ARL Publications, Department #0692, Washington, DC 20073-0692. - *Laura Rounds*

ARL ACTIVITIES

G. Jaia Barrett, Deputy Executive Director

RENEWING THE ARL AGENDA

One hundred and ten member libraries were represented at the Fall ARL Membership Meeting. The program sessions targeted the following topics, each a major issue on the agendas of ARL standing committees.

- Building Effective Relationships Between Research Libraries and Scholarly Publishers
- Performance Measures As Incentives for Redesigning Access & Delivery Services
- Leadership in the New Workplace
- Electronic Technology as a Preservation Strategy
- Strategies for Minority Recruitment & Retention in Research Libraries
- A Proposal for Improving Access to Global Information Resources
- New Research Directions and Federal Funding Opportunities

ARL's agenda was also discussed during the Business Meeting as member representatives endorsed a revised statement of ARL Mission and Strategic Objectives, adding an objective on research library performance measures. In addition, members elected three directors to the ARL Board: Nancy Eaton, Iowa State University, James Neal, Indiana University, and Barbara von Wahlde, SUNY-Buffalo. Jerry Campbell, Duke University, succeeded John Black, University of Guelph as President of ARL; and the Board of Directors elected Nancy Cline, Pennsylvania State University, Vice-President/President-elect.

The October ARL Membership Meeting featured a briefing on the status of the AAU-ARL Research Libraries Project. Pictured above, left to right, are Jerry Campbell, Duke University, co-chair of the joint AAU-ARL Research Libraries Steering Committee; Cornelius Pings, President, Association of American Universities; John Black, University of Guelph and ARL President, and Duane Webster, ARL Executive Director.
Photo by Mary Jane Brooks

ARL AT ALISE

The ARL Minority Recruitment and Retention Committee met with June Lester, incoming President for ALISE (Association for Library and Information Science Education) at the fall ARL meeting. The purpose of this meeting was to explore ways that ARL might engage with ALISE in joint initiatives to advance minority representation in library and information science graduate programs. Margaret Myers of ALA's Office of Library and Personnel Resources also attended the meeting.

One strategy identified was increasing the presence of ARL directors at the next annual ALISE conference, to be held January 31 - February 3, 1995, prior to the ALA Midwinter meeting. Attendance at this meeting would provide ARL directors with an opportunity to learn more about ALISE and the issues facing library education. It also would enable directors to meet individual faculty, discuss the importance of a diverse workforce for libraries, develop a better understanding of the challenges facing library and information science programs in recruiting and/or graduating more minorities, and explore strategies ARL libraries might pursue in partnership with graduate school programs to recruit more minority students, as well as to prepare graduates for employment in ARL libraries.

The members of the ARL Committee on Minority Recruitment and Retention invite other directors to join them at the ALISE conference to demonstrate ARL's desire to work with library and information science educators to develop a common agenda for minority recruitment and retention. Contact Marianne Seales, ARL Program Assistant, for registration and preliminary conference program information (marianne@cni.org).

TRANSITIONS

California, Berkeley: Peter Lyman was appointed University Librarian, effective November 7.

Johns Hopkins: Stephen G. Nichols, the James M. Beall Professor of French and Humanities, was named Interim Sheridan Director of the Eisenhower Library.

National Agricultural Library: Pamela Q.J. André was appointed Director, effective November 14

Southern California: Lynn F. Sipe was appointed Acting Director, effective November 1.

Waterloo: Mike Ridley, Associate Librarian, Systems, is serving as Acting University Librarian for the last quarter of the year while Murray Shepherd fulfills an assignment for organizational renewal of the University Offices of Development and Alumni Affairs.

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Council on Library Resources: Deanna B. Marcum was named President, effective January 1, 1995. She will succeed W. David Penniman who has resigned his position as President effective December 31, after serving for the past four years. Dr. Marcum is currently Director of Public Service and Collection Management at the Library of Congress. She served as CLR Vice President from 1984 to 1989 and previously was Management Training Specialist in ARL's Office of Management Services.

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ARL: Laura A. Rounds was appointed Program Officer for Information Services for ARL's Office of Management Services in October. Ms. Rounds was formerly the U.S. EPA Public Access Librarian.

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ARL CALENDAR

1995

February 3-9	American Library Association Philadelphia, PA
February 9-10	**ARL Board Meeting** **Washington, DC**
March 9-11	ARL/NACS Electronic Reserves Forum Chicago, IL
March 13-14	OCLC Research Libraries Advisory Committee *The Global Community of Research Libraries* Dublin, OH
April 6-7	EDUCOM NationalNet Washington, DC
April 10-11	Coalition for Networked Information Spring Task Force Meeting Washington, DC
May 17-19	**ARL Board and Membership Meeting** **Boston, MA**
July 24-25	**ARL Board Meeting** **Washington, DC**
October 18-20	**ARL Board and Membership Meeting** **Washington, DC**